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ABSTRACT

In April 1983 the Association of Research Libraries (ARL) surveyed selected members regarding the recruitment, compensation, role, and training of assistant, associate or deputy library directors. A total of 51 libraries (approximately 50% of ARL academic members) participated in the survey. It was found that associate director (AD)-level staff are responsible for overseeing day-to-day activities in a variety of units; the number of AD-level positions has increased; a search committee generally screens applicants with the director making the final selection; nationwide recruitment searches are generally conducted; there is considerable flexibility in salary administration for AD-level positions; directors are looking more to AD-level staff for information, advice, and ideas; developmental training of top-level staff is scarce; and recruiting and selecting AD-level staff with a mix of technical, interpersonal, and group skills is becoming important. This document presents a sample questionnaire with responses noted; an extensive series of job descriptions and appointment, promotion, and grievance policy statements concerning the AD position from eight libraries; a concise summary of related issues and trends; a four-item bibliography; and an evaluation sheet for this ARL Systems and Procedures Exchange Center (SPEC) kit. (ESR)

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The Assistant/Associate Director Position in ARL Libraries

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#103 APRIL 1984 OMS
Systems and Procedures Exchange Center

ISSN 1060 3574

THE ASSISTANT/ASSOCIATE DIRECTOR POSITION IN ARL LIBRARIES

Research libraries typically are organized along traditional hierarchical patterns. Within these patterns, the assistant, associate or deputy director position (sometimes referred to as assistant or associate university librarian) frequently is responsible for much of a library's direct managerial functions such as planning and monitoring performance, communicating, and decision-making. Despite this common structure, the literature contains few examinations of the role of assistant/associate director (AD)-level positions. To respond to current interest in reorganizing and redefining administrative roles, SPEC conducted a survey of selected members of the Association of Research Libraries (ARL) in April 1983. The Center contacted 24 U.S. and Canadian academic libraries selected to represent diversity in size, geographic location, and control (public or private) and also asked all remaining ARL academic libraries if they wished to participate voluntarily. A total of 51 libraries (approximately 50% of the Association's academic membership) participated in the survey. The accompanying kit contains a statistical summary of results from the survey, and an OMS Occasional Paper late in 1984 will discuss survey results in greater detail.

All responding libraries report organizational structures which include AD-level positions, with 46 (90%) designating that, in the absence of the director, one of those staff serves as functional director. Typically this designation is rotated among several AD-level positions, although in a few instances one person occupies this role as a "first among equals". Partly because of the increased complexity of research library operations and external demands placed on directors, AD-level staff are responsible for a number of areas including administrative services, budget, collection development, personnel, public services, technical services, planning and systems. Most function as executive or operations officers, overseeing day-to-day activities in a variety of units, usually at the departmental or branch levels, and many also carry out specialized staff (as distinct from line) duties. In general, the number of AD-level positions has increased with the increased complexity of research library management. At the same time, individual responsibility connected to the positions has increased while the breadth of responsibility has decreased.

RECRUITMENT/QUALIFICATIONS. Most responses to the survey indicate that a search committee screens applicants, while the director makes the final selection based on the committee's recommendations. Libraries are evenly split on including support staff on these committees, and there were no reports of users being included. It is not unusual, however, for faculty and university administrators to be involved in the interview process and to provide their reactions to candidates.

The criteria for selection continue to include traditional emphases on experience and education, but there was considerable discussion in survey responses on the importance of qualitative criteria such as interpersonal, group leadership, and analytical skills, as well as potential for successful execution of senior management responsibilities. While advanced degrees are rated as highly desirable, it is clear that libraries also are concerned with identifying individuals with the specific skills needed to manage within a collegial environment.

Survey results indicate that in most instances libraries are conducting nationwide searches to fill these positions and that internal recruitment is rare. While there are some strong arguments in support of external searches, including affirmative action compliance, they do imply that it is difficult to build a successful managerial career within one institution. Staff morale also can be adversely

affected if senior positions always are filled from the outside. Over-reliance on outside hiring also raises questions about the library's training and developmental programs for professional staff.

COMPENSATION/REVIEW. Virtually every responding institution enjoys considerable flexibility in salary administration for AD-level positions. Very few respondents indicate discrete salary steps and most staff are not required to spend a specific time in grade to gain eligibility for promotion. One-third of the libraries employ systems of peer review for AD-level positions, but in every instance the director is the principal evaluator and reviewer. While staff are sometimes asked to contribute to the review process, this participation is systematic in only 25% of the reporting libraries. Apparently, many senior staff receive limited feedback on their performance, and what they do receive is more oriented toward fulfilling demands of a compensation system than providing opportunities for improving performance.

ROLES/RELATIONSHIPS. Nearly all respondents report that the director and the AD-level staff meet regularly to make top-level planning and operating decisions, and the majority of libraries report using a participative or consensus style. It is clear that directors are looking more to their senior managers for information, advice, and ideas. However, the style of decision-making in particular situations depends on the nature of the problem, the experience of the staff involved, and the preferences of the director. Several respondents express a need for more effective use of team-building and collaborative decision-making among senior management staff.

TRAINING/DEVELOPMENT. Some respondents note they expect candidates for AD-level positions to be fully prepared for their responsibilities without further training. The majority indicate they provide supervisory training through programs offered by the library, the university or a professional association. Developmental training geared for top-level staff, however, is scarce. ARL membership meetings traditionally have provided developmental opportunities for directors, while more recently, a Management Institute for directors and several Advanced Management Skills Institutes for AD-level staff were held by the OMS. However, with the changing nature of AD-level responsibilities, additional management training approaches will be needed. For example, respondents ranked management ability highest among specific skills required for ADs, followed by skills in interpersonal relations, finance, and technology.

TRENDS. There is some evidence that libraries have become more concerned with redefining the roles and responsibilities of senior management staff, with greater use of AD's as a cabinet or senior management team to operate the library and assist in strategic decision-making. As a result, recruiting and selecting AD-level staff with a mix of technical, interpersonal and group skills becomes important. While the hierarchical structures remain, collaboration, collegiality and personal motivation have become more important. The research library of the 1980's requires new technical skills which frequently must be represented at the administrative level. And while there is considerable evidence that AD-level positions are typically filled from outside, libraries will be exploring ways to develop their own staff for advancement, with the goals of improved performance, higher morale, and a stronger staff commitment to organizations that exhibit a similar commitment to them.

The SPEC Kit on The Assistant/Associate Director Position in ARL Libraries (#103, April 1984, 100 pages) contains SPEC survey results, documents concerning the AD position from eight libraries, and a short list of readings. Kits are available mainly by subscription from the SPEC Center, Office of Management Studies, Association of Research Libraries, 1527 New Hampshire Ave., N.W., Washington, D.C. 20036. Individual kits may be ordered for $15.00 each, prepaid only. Orders outside the U.S. and Canada, add $5.00 for parcel post shipping and handling. (ARL members receive SPEC kits for $7.50.)

This flyer/kit was prepared as part of the OMS Collaborative Research/Writing Program by Allen B. Veaner, Toronto, Canada.

USES OF SPEC KITS

The Systems and Procedures Exchange Center (SPEC) is a clearinghouse operated by the Association of Research Libraries, Office of Management Studies that provides a central source of timely information and materials on the management and operations of large academic and research libraries. It facilitates the exchange of knowledge and documents through SPEC Kits, which are distributed ten times each year to ARL members and other interested libraries. The Kits include topically-arranged groupings of unedited primary source documents – selected for their value to administrators and decision-makers – that illustrate a wide range of alternative approaches to specfic issues.

Kit documents come from general membership surveys and from selected libraries contacted directly by SPEC, and most Kits are produced within six months of surveys. The documents' value comes from their variety of ideas, methods, and solutions. They are not viewed as finished products, but rather as points of departure for a library's planning efforts and as stimulants to innovative approaches to problem-solving. As such, Kits do not present answers or prescriptions for any one library; instead they illustrate how selected ARL members are planning for or dealing with particular issues. The worth of any one Kit to a particular library will depend upon the specific topic covered and the library's stage of development in that area.

Materials are selected according to the following criteria:

- Presents an approach of potential value to administrators and decision-makers
- Timely, and dealing directly with the topic under consideration
- Probability of application of ideas or thinking to other library situations
- Illustrative of actual practice, rather than theoretical
- Understandable, readable communication

All together, the materials should provide a range of alternative approaches that complement each other, provide variety, and stimulate comparison and contrast.

Libraries can take advantage of the Kit compilations in a number of ways. Administrators can evaluate the assumptions, methods, and results of other libraries' approaches; compare and contrast them; and use the learnings in their own situations. Library staff members can use the kits as professional development and current awareness tools. Committees and task forces can use them to begin a review of current practices. And the Kits can identify other persons or places to contact for further information. Back-up files in the SPEC office also are available for loan to member libraries. In addition, SPEC will conduct on-demand surveys or analyses geared specifically for a single library.

EVALUATION

Kit Title/Number _____

1. Which uses did the library make of this Kit?

2. Please indicate how useful the Kit was for these purposes.

☐ Very Useful ☐ Quite Useful ☐ Somewhat Useful ☐ Not Useful

3. Do you have suggestions for this Kit or for future Kits?

(optional)

NAME _____

LIBRARY _____

PHONE _____

Please return this form to the SPEC Center, OMS/ARL, 1527 New Hampshire Ave., N.W., Washington, DC 20036.

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ISSN 0160 3582

THE ASSISTANT/ASSOCIATE DIRECTOR POSITION IN ARL LIBRARIES

SPEC KIT #103 APRIL 1984

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OFFICE OF MANAGEMENT STUDIES

ASSOCIATION OF RESEARCH LIBRARIES 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • (202) 232-8656

April 1983

THE ASSISTANT OR ASSOCIATE UNIVERSITY LIBRARIAN/DIRECTOR POSITION IN ARL LIBRARIES

This survey covers the role and function, employment conditions, and career patterns of assistant or associate university librarians/assistant or associate directors (AUL/AD) in ARL institutions, within the context of the top management group of the library. Questions are concerned mainly with organizational practices, policies, and philosophies. A final section concerns decision-making practices of the library's senior management.

For the purposes of this survey, we are looking at AUL/AD positions as those that typically perform high level administrative duties in functional areas such as processing, public services, collection development, or undertaking to administer the whole of a library system's internal, day-to-day operations, while the director is engaged in external work such as fund raising, building campaigns, network relations, and the like.

Please return the completed survey to: SPEC Center, OMS, 1527 New Hampshire Ave., N.W., Washington, D.C. 20036, by May 15, 1983. Thank you.

- -

NAME OF RESPONDENT _____

INSTITUTION _____ NUMBER OF RESPONDENTS: 51

PHONE (area code) _____ (Not all respondents answered all questions)

DUTIES AND RESPONSIBILITIES

1. Does the library have "number two" administrator positions, that is, persons who serve as the director, in his/her absence or stead?

46 YES
6 NO (One library answered both "yes" and "no")

IF YES, what title does the library use for the position(s)?

For detailed information, contact SPEC

2. In the library's position descriptions for the above, how would you characterize the descriptions of the duties and responsibilities of the position(s)?

29 Broad areas of responsibility
1 Closely-detailed, specific tasks
12 Combination of above
____ Other _____

3. Do the AUL/ADs serve as a executive or operations officer, running day-to-day operations?

34 YES
9 NO
3 Explanation For information, contact SPEC

4. For which of the following areas do the AUL/AD s have primary responsibility on a day-to-day basis?
(Check as many as applicable.)

34 Hiring, termination, other employment processes
31 Personnel allocation
32 Materials fund allocation
31 Budget preparation
33 Fiscal control
26 Grievance actions
40 Long-range plan development
0 Other _____

5. Which positions in the library are considered as senior management? (e.g., part of the group that is involved in major decision-making and resource allocation).

POSITION TITLE	LINE or STAFF
For detailed information, contact SPEC	

PLEASE ENCLOSE ORGANIZATION CHARTS, JOB/POSITION DESCRIPTIONS, VACANCY ANNOUNCEMENTS, and other documents that will assist in analyzing AUL/AD roles and responsibilities.

EMPLOYMENT CONDITIONS

SELECTION/APPOINTMENT

1. Is a search panel or committee used for recruitment/selection?

48 YES
3 NO

2. If YES, what is the makeup of the group?

1 Persons chiefly outside the library
35 Persons chiefly within the library
15 All librarians?
13 Librarians and classified/clerical/paraprofessional?
6 A fairly equal mixture of above
0 Other _____

NAME OF RESPONDING LIBRARY _____

3. How are the terms or conditions of employment defined?*

10 Written contract
27 Letter of appointment from director
17 Letter of appointment from outside library
21 In academic/library handbook
0 Other _____

*Some respondents checked more than one answer

4. What is the relationship of the AUL/AD position to a collective bargaining unit?

1 Included
16 Excluded
33 Not applicable

SEND EXAMPLES OF TERMS/CONDITIONS OF EMPLOYMENT AND DESCRIPTIONS OF SEARCH PROCEDURES

SALARY ADMINISTRATION

1. Does the library's AUL/AD position have discrete salary steps?

2 YES
48 NO

2. Must the incumbent remain within a step for a specific period before being eligible for advancement?

3 YES
35 NO

3. Is there a salary continuum (i.e., no steps)?

40 YES
5 NO

4. Is there a salary range with a minimum and maximum?

21 YES
26 NO

5. Are AUL/AD salaries:

27 Public
21 Confidential
___ Other _____

6. For the AUL/AD position, does your institution differentiate between increases for merit and cost-of-living?

32 YES
17 NO
___ Other (explain)

PLEASE ENCLOSE DOCUMENTS THAT ILLUSTRATE SALARY RANGES AND THAT EXPLAIN SALARY ADJUSTMENTS

EVALUATION (Respondents sometimes provided more than one answer to the following questions)

1. Is there a peer review system?
   15 YES
   31 NO
   0 Other or explain

2. If yes, is the review confined solely to peers within the organization?
   13 YES
   4 NO

   or

   To peers beyond the organization (i.e., another campus, if multicampus institution, or another University, or both)?
   6 YES
   3 NO

3. Is the director principally responsible for AUL/AD review?
   49 YES
   NO

4. Are subordinates asked to participate in AUL/AD review?
   12 YES
   30 NO

5. Are written evaluative statements sought?
   23 YES
   20 NO

   Are they kept confidential?
   22 YES
   5 NO

6. Are there policies and procedures on appeals?
   43 YES
   5 NO

How many times has the procedure been used within the past five years ?
See below* times
Briefly describe outcomes:
*Number of cases appealed: 9
Number of times appeal has not occurred: 34

DESCRIBE OR ENCLOSE COPY OF PROCEDURES, POLICIES

NAME OF RESPONDING LIBRARY _____

TENURE

1. Does the AUL//AD have tenure?

16 YES
25 NO
9 Other/explain

2. Can the AUL/AD be terminated without a grievance (i.e., does the position serve "at the pleasure of" the director)?*

19 YES
28 NO
7 Other/explain *Some libraries checked more than one answer; for more information, contact SPEC.

3. Does the AUL/AD have the right to return to a non-management position?*

23 YES
17 NO
12 Other/Explain *Some libraries checked more than one answer; for more information, contact SPEC.

4. Please briefly describe or enclose documents that explain the library's various grounds for seeking to terminate the AUL/AD.

CAREER PATTERNS

1. What is the primary source for recruitment?
14 Outside library
3 Promoted from within
34 Both, equally
____ Other _____

2. What experience is required for the position?
____ Librarian ___ years
____ Management/administrative ___ years
____ Education ___ years
___ type/degree

For information on this question, contact SPEC

3. Training and development provided for AUL/AD comes from: *

33 Within library
29 Within university
31 Outside university
31 Professional association
2 Other: Not applicable (in view of respondents)
4 No response

4. Areas of training/skills for the AUL/AD:*

40 Management
30 Financial
31 Technical
36 Interpersonal relations
28 Writing and other communication skills
14 Other For more information, contact SPEC
4 No response

*Respondents checked as many answers as were applicable.

DECISION-MAKING IN LIBRARY

1. Is there a group of senior management that meets regularly to plan and make decisions?

42 YES
4 NO
1 Other (comment provided)

2. Are decisions regarding such areas as planning, budgeting, and personnel made in most cases:

4 By the entire membership of top management groups?
21 By the director and AUL/AD(s)
19 By director, with information and advice from top management
4 Other (explain) For more information, contact SPEC.

3. How would you characterize the library's decision-making style? *

9 Hierarchical
3 Collegial
22 Participative
23 Consultative
6 Other For more information, contact SPEC
4 No response

PLEASE ENCLOSE DOCUMENTS ON MANAGEMENT PRACTICES, PHILOSOPHIES, GOALS

*Some libraries checked more than one answer.

PLEASE RETURN SURVEY BY May 15, 1983 TO: SPEC Center, OMS, 1527 New Hampshire Ave., N.W., Washington, D.C. 20036.

THE UNIVERSITY LIBRARY
UNIVERSITY OF CALIFORNIA, SAN DIEGO

Administrative Position

ASSISTANT or ASSOCIATE UNIVERSITY LIBRARIAN - ACCESS SERVICES

AVAILABLE: July 1, 1983
SALARY: $29,400 - $48,100

The University and the Library

The University of California, San Diego, has an enrollment of approximately 13,000 and employs 3,000 faculty and other academicians, and over 7,500 non-academic staff. The main academic units are four undergraduate colleges, a division of graduate studies and research, a division of engineering, the School of Medicine, Scripps Institution of Oceanography, and University Extension. The University Library system consists of the Central University Library, The Biomedical Library and Medical Center Library, the Cluster Undergraduate Library, the Science & Engineering Library, and Scripps Institution of Oceanography Library. The combined collections total 1.5 million volumes.

Responsibilities

Under the general direction of the University Librarian, administers, coordinates and provides leadership in library services to support UCSD instructional and research programs, and services to meet the needs of the general public. Initially will have responsibility for the implementation of an integrated automated system for the acquisitions, cataloging and circulation functions of the University Library. The Assistant/Associate University Librarian - Access Services has line responsibility for the Central University Library's Acquisitions, Cataloging and Circulation Departments, and coordinates library wide operations in these functional areas to assure consistency and quality of standards within the University Library. May eventually assume responsibility for additional or alternate administrative functions. Serves with the Assistant University Librarian - Sciences and the Assistant University Librarian - Social Sciences and Humanities as the principal deputies of the University Librarian. Participates in general administrative processes: policy and planning, budget and resource allocation, organization and communication, staff development, and personnel decisions. Represents the UCSD Library as appropriate. Contributes to the profession and maintains an awareness of current professional developments through participation in professional organizations and activities.

Qualifications

An understanding of the scholarly use of library collections and services; an awareness of current trends in higher education, library service, and automated library systems at the local and national levels; demonstrated ability to work effectively with library staff and other members of a research-oriented academic community; considerable academic library experience, including management responsibilities and a record of demonstrated leadership in issues of bibliographic access, preferably in a large research library. M.L.S. from ALA accredited library school is required. Knowledge of research and evaluation techniques is highly desirable. Starting salary within the Assistant/Associate University Librarian range, and appointment at the higher rank will depend on experience and qualifications.

THE UNIVERSITY LIBRARY
University of California, San Diego
Two Administrative Positions

Assistant or Associate University Librarian
Social Science and Humanities
and
Assistant or Associate University Librarian,
Sciences

AVAILABLE: July 1, 1980

SALARY: $27,700 - $45,400

The University and the Library

The University of California, San Diego, has an enrollment of approximately 10,000 and employs 3,000 faculty and other academicians, and over 7,500 non-academic staff. The main academic units are four undergraduate colleges, a division of graduate studies and research, the School of Medicine, Scripps Institution of Oceanography, and University Extension. The University Library system consists of the Central University Library, the Biomedical Library and Medical Center Library, the Cluster Undergraduate Library, the Science & Engineering Library, and the Scripps Institution of Oceanography Library. The combined collections total 1.4 million volumes.

Responsibilities

Incumbents in these positions serve with the Associate University Librarian, Technical Services, as principal deputies of the University Librarian. Under the general direction of the University Librarian, administer, coordinate and provide leadership in library services to support UCSD instructional and research programs, and services to meet the needs of the general public. Initiate and coordinate research on user needs and evaluation of library services. Work with library units to coordinate operations in order to maintain consistency and quality of standards within the University Library. Participate in general administrative processes: policy and planning, budget and resource allocation, organization and communication, staff development, and personnel decisions. Assume more specific responsibility for one or more administrative functions, e.g. collection development, space planning, personnel. Represent the UCSD Library as appropriate. Contribute to the profession, and maintain an awareness of current professional developments through participation in professional organizations and activities. The Assistant or Associate University Librarian, Social Science and Humanities has line responsibility for the Central University Library's Circulation, Reference and ILL, Music, Special Collections and Documents Departments, the Cluster Undergraduate Library and the Slide Collection. The Assistant or Associate University Librarian, Sciences, has line responsibility for the Biomedical Library and Medical Center Library, the Science and Engineering Library, and the Scripps Institution of Oceanography Library.

Qualifications

An understanding of the scholarly use of library collections and services; an awareness of current trends in higher education and library service at the local and national levels; demonstrated ability to work effectively with research-oriented faculty, library staff, and other members of the academic community; considerable academic library experience, including management responsibilities, preferably in a large research library; M.L.S. from ALA accredited library school are required. Knowledge of research and evaluation techniques is highly desirable. Appointment as Assistant or Associate University Librarian, and starting salary within the range, will depend on experience and qualifications.

Benefits

Librarians at UCSD are academic appointees. They are entitled to 16 hours per month of annual leave, 8 hours per month of sick leave, reductions in incidental fees, and all other perquisites granted to non-faculty academic personnel. The University has an excellent retirement system, and sponsors a variety of group health and life insurance plans.

May 1, 1983

PROCEDURE FOR APPOINTMENT, PROMOTION AND ADVANCEMENT FOR ASSOCIATE UNIVERSITY LIBRARIAN AND ASSISTANT UNIVERSITY LIBRARIANS, UCSD

The following are guidelines governing the conduct of personnel procedures concerning appointment, promotion, and advancement in the Associate University Librarian and Assistant University Librarian Series at the University of California, San Diego. These guidelines include the delegation of authority and responsibilities to individuals and committees involved. It is intended that they be consistent with the policies and principles embodied in Section 365 and 360-10b of the Academic Personnel Manual of the University of California.

1.0 Authority and Responsibilities

1.1 The Chancellor has delegated to the Vice Chancellor-Academic Affairs authority to approve appointments, promotions, and merit increases within authorized salary ranges, after appropriate review, for those in the Associate University Librarian and Assistant University Librarian Series. (From this point Assistant University Librarian and Associate University Librarian will be referred to as AUL.)

1.2 The University Librarian shall be responsible for interviewing candidates and recommending appointments at the AUL level; evaluating AUL's for advancement and promotions; gathering appropriate documentation in support of recommendations; and forwarding such documentation to the Vice Chancellor-Academic Affairs.

1.3 The University Librarian shall delegate responsibility to the Personnel Librarian for coordination of a recruitment program for filling vacancies in this series and for monitoring its effectiveness with respect to equal opportunity/affirmative action programs and other legal requirements; for gathering documentation relevant to potential appointments; for processing internal transfer applications; and for serving as liaison between the Vice Chancellor-Academic Affairs, the University Librarian, and the Screening Committee.

1.4 The Committee on Appointment, Promotion and Advancement (CAPA), a standing committee of the Librarians' Association of the University of California, San Diego, shall be responsible for recommending a slate of five names to the University Librarian for appointment to the Screening Committee, of which three will be selected to serve by the University Librarian. (See Section 2.3)

1.5 The University Librarian shall delegate to the Screening Committee the responsibility for evaluating applications and for recommending names of the most qualified applicants to be interviewed. The University Librarian shall consider these recommendations when selecting candidates to be interviewed. The Screening Committee shall also participate in the interview process and shall provide to the University Librarian a report which shall consist of a written evaluation of each candidate interviewed.

BEST COPY AVAILABLE

2.0 Appointments

2.1 Definition: an appointment occurs when an individual is employed with one of these titles and when the individual's immediately previous status was

a. not in the employ of the University; or

b. in the employ of the University, but not with either of these two titles.

2.2 Criteria for Appointment

Refer to Section 210-4e, 360-10b, and 365-10a of the Academic Personnel Manual.

2.3 Screening Committee Appointment

a. A Screening Committee shall be appointed by the University Librarian for each appointment to this series.

b. Membership

i) Faculty, librarians, and staff members, with career appointments, are eligible to serve on the Screening Committee.

ii) Membership of the committee is not confidential, but its reports and recommendations are confidential.

c. Appointment of the Screening Committee

i) When a vacancy occurs in the AUL Series, the Personnel Librarian shall send the Committee on Appointment, Promotion, and Advancement (CAPA) a draft of the responsibility description and request to provide a slate of five names from which the University Librarian shall appoint three members to the Screening Committee.

ii) The University librarian shall directly appoint a number of additional persons to the Committee and shall designate one of the members as Chair.

iii) The Personnel Librarian shall inform the Committee on Appointment, Promotion, and Advancement of the committee's composition, including the names of persons appointed directly by the University Librarian, and shall set a date for the first meeting.

iv) The Screening Committee shall remain in existence until the AUL appointment has been made.

BEST COPY AVAILABLE

2.4 Procedure for Recruitment and Appointment

a. Recruitment for an AUL shall begin with the University Librarian writing a position description which will be forwarded, with advertising and search procedures, for approval by the Academic Affirmative Action Office. Applicants shall be recruited and considered according to Affirmative Action guidelines to assure an Equal Employment Opportunity to all qualified candidates.

b. Upon approval of the Academic Affirmative Action Office, the Personnel Librarian shall solicit names for appointment to the Screening Committee from CAPA.

c. The University Librarian shall appoint the Screening Committee and its Chair.

d. The Personnel Librarian and the University Librarian shall meet with the Screening Committee as soon as posible after its appointment to review and discuss:

i) Responsibility description and qualifications being sought

ii) Proposed recruitment sources which shall be determined prior to Affirmation Action approval

iii) Recruitment, selection, and appointment procedures

iv) Affirmative Action guidelines

e. The Personnel Librarian, or designated respresentative, shall carry out the recruitment program and forward all applications to the committee.

f. The committee shall advise the University Librarian on potential interviewees.

g. The Interview

For each candidate to be interviewed, the Library Personnel Office shall arrange a schedule including a meeting with the Screening Committee and informal meetings of the candidate with appropriate staff members of the Library and the University as well as with the University Librarian.

h. The Recommendation

i) After the interviews have been completed, the Chair of the committee shall submit its report to the University Librarian. The committee will be allowed at least one working day to submit its report to the University Librarian.

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ii) If the University Librarian selects one of the candidates interviewed, the name will be forwarded to the Vice Chancellor-Academic Affairs for approval. If the University Librarian does not wish to select one of the candidates interviewed, the University Librarian shall meet with the Screening Committee to determine a future course of action.

2.5 Documentation to Accompany Appointment Recommendation

a. Letter of recommendation from the University Librarian which provides a comprehensive assessment of the candidate's qualifications.

b. Report of the Screening Committee

c. Biography Form

d. A copy of the University Librarian's solicitation letter for letters of recommendation

e. Letters of Recommendation

f. Evidence of publications or other creative work

g. Copy of position responsibility description

3.0 Merit Increase and Promotion

3.1 Definitions

a. A promotion is an advancement to the higher rank of Associate University Librarian from the lower rank of Assistant University Librarian. A change in title from another series (e.g., Librarian) to either Associate University Librarian or Assistant University Librarian is not defined as a promotion but as an appointment as described above.

b. A merit increase is an advancement in salary within rank.

c. An intercampus transfer is treated as an appointment by the new campus, although it may involve a merit increase or promotion.

3.2 Criteria for Merit Increase and Promotion

Refer to Section 210-4e, 360-10b and 365-10a of the Academic Personnel Manual.

3.3 Review Procedure

a. The Individual

i) Shall submit the following documents to the University Librarian.

c1

(a) An updated Biography Form

(b) An updated responsibility description

ii) May submit the following optional documents to the University Librarian.

(a) A review of activities since the last review

(b) A list of names and addresses of persons who are familiar with the individual's performance, from whom the University Librarian may request letters of reference.

(c) A list of persons who, in the view of the candidate, for reasons set forth, might not objectively evaluate the candidate's qualifications of performance.

b. The University Librarian shall:

i) Provide a comprehensive assessment of the candidate's performance, together with detailed evidence to support the evaluation. The evaluation should include a report of consultation with professional library staff and others in a position to evaluate performance. Recommendations for merit increase shall be based on (1) professional competence and quality of service rendered within the Library; (2) professional activity outside the Library; (3) University and public service; and (4) research and other creative activity. (Criteria for assessing such performance is elaborated in the University's Academic Personnel Manual 210-4e(3).)

ii) Solicit letters of reference from persons familiar with the candidate's performance, including at least one letter from a member of the library staff. CAPA may recommend, for consideration by the University Librarian, names of persons from whom letters of reference might be solicited.

iii) Provide Checklist A (AUL Series), initialed and dated by candidate and signed by both candidate and University Librarian.

iv) Inform the candidate of the recommendation and the decision of the Vice Chancellor-Academic Affairs.

c. The Vice Chancellor-Academic Affairs shall:

i) Review the University Librarian's recommendation and all supporting documentation in order to reach a decision, using the criteria in Sections 210-4e(2), 360-10b, and 365-10a of the Academic Personnel Manual.

ii) Inform the University Librarian of the decision. (Upon completion of all reviews, the University Librarian shall inform the candidate of the decision See Section 3.3 b. iii above).

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APPOINTMENT AND PROMOTION
Associate University Librarian
and Assistant University Librarian

APM - 365

365-4 Definitions

The titles Associate University Librarian and Assistant University Librarian are used for academic appointees who provide top-level professional and administrative services to the University libraries as officers assisting the University Librarians. There may be more than one appointee with each title on a given campus.

a. Associate University Librarian

Position of high responsibility in the planning and management of the operation of the library or libraries of a campus. Functions as a top-level administrative officer under the University Librarian, and is expected to be capable of functioning as deputy for the University Librarian when necessary. May be assigned authority for management of a sector of the library or of a major functional area of library administration.

b. Assistant University Librarian

Position of major responsibility for assisting with planning and managing library operations. May be assigned authority for management of a sector of the library or of a major functional area of library administration, under the general supervision of the University Librarian or an Associate University Librarian.

365-6 Responsibility

It is the responsibility of each Chancellor, in consultation with the University Librarian, to provide for review of candidates for appointment to either of these titles, for merit increases for Associate and Assistant University Librarians, and for promotion of Assistant University Librarians. (See APM - 365-80 concerning Procedures.)

365-8 Types

a. An appointment occurs when an individual is employed with one of these titles and when the individual's

365-8 Types (continued)

immediately previous status was:

(1) not in the employ of the University; or

(2) in the employ of the University, but not with either of these two titles.

b. A promotion is an advancement to the higher rank of Associate University Librarian from the lower rank of Assistant University Librarian. A change in title from another series (e.g., Librarian) to either Associate University Librarian or Assistant University Librarian is not defined as a promotion but as an appointment as described above.

c. A merit increase is an advancement in salary within rank.

d. An intercampus transfer is treated as an appointment by the new campus, although it may involve a merit increase or a promotion. (For policy concerning intercampus transfers, see APM - 510.)

365-10 Criteria

a. A candidate for appointment as Associate University Librarian or Assistant University Librarian shall have a professional background of competence, knowledge, and experience which clearly assures adequate preparation and suitability for appointment with the proposed title. Normally, a candidate will be expected to have a professional degree from a library school with an accredited program and considerable subsequent experience as a professional librarian. Demonstrated superior professional ability and attainment are indispensable qualifications for appointment to either of these titles. Promotion from Assistant University Librarian to Associate University Librarian must be justified not only by excellence of service and attainment, but also by demonstrated professional growth and accomplishment and/or the assumption of greater responsibility.

365-10 Criteria (continued)

Each Chancellor, after receiving advice from the University Librarian, who shall consult with representatives of the campus Division of the Librarians Association, shall adopt and issue for campus use a full statement of general policy on the duties, responsibilities, and criteria for appointment and advancement of Associate University Librarians and Assistant University Librarians. Any such statements shall include and be consistent with the provisions of APM - 365-4 and 365-10-a, and the substance of APM - 360-10-b. A copy of each such statement and of any subsequent modifications of it shall be made available to the library staff and sent to the Vice President--Academic and Staff Personnel Relations.

365-16 Restrictions

a. Appointments to and retention in positions which are supported by State or other permanent funds administered by The Regents are subject to budgetary limitations established for the respective campuses, both as to funds and number of positions.

b. Promotions and merit increases may be approved only within the limits of available funds.

365-17 Terms of Service

a. An appointment to either of these titles is for an indefinite term.

b. The titles Acting Associate University Librarian and Acting Assistant University Librarian may be accorded only to persons on temporary appointment. The prefix "Acting" will signify the interim status of such appointment.

c. Rules concerning effective dates of appointments shall be as stipulated in APM - 200-17. The effective date of merit increases and promotions will normally be

365-17 Terms of Service (continued)

July 1, although exceptions may be approved as provided in APM - 365-24 b.

365-18 Salary

a. Authorized salary ranges established for these titles are issued by the Office of the Vice President--Academic and Staff Personnel Relations, and are subject to periodic administrative review and range adjustment.

b. Initial salaries and subsequent advancements in salary for appointees to these titles shall be subject to determination on a case-by-case basis, based upon qualifications and position requirements.

c. There are no normal periods of service at either title. As a general practice, appointees shall be considered for merit increases at two-year intervals. Merit increases are not automatic and must be justified by the quality of professional and administrative service rendered by the appointee.

365-20 Conditions of Employment

a. When an appointment as Associate or Assistant University Librarian is not to be continued, under circumstances other than those indicated in subsections b. and c. below, written notice shall be given to the individual in accordance with the following schedule:

(1) With less than one year of University service by the intended date of termination: not less than a four-month notice.

(2) With one year or more of University service by the intended date of termination: not less than a six-month notice.

b. When an appointment is to be terminated in the event of lack of work or lack of funds, a written notice of not

365-20 Conditions of Employment (continued)

less than one month shall be given to the individual whenever possible. Opportunity for appeal shall be provided in accordance with the provisions of APM - 140. (See also APM - 365-20-h.)

c. If an appointee's conduct or performance of duty is such as to justify immediate dismissal, the appointee shall not be entitled to any notice.

d. An appointee accrues sick leave credit and vacation credit in accordance with the provisions of APM - 710 and 730, respectively.

e. An appointee is normally included in the University of California Retirement System (UCRS). For details and exceptions, see a copy of the informational booklet concerning membership in the UCRS.

f. For information concerning eligibility for reimbursement of certain removal expenses see APM - 560.

g. A leave of absence with full or partial salary may be granted to an appointee with one of these titles (subject to the provisions of APM - 750, 752, and 758) when the leave is in the interest of the appointee's duties and professional development, when the project is of direct relevance to the functioning of the library as well as in the best interests of the University, and to the extent that provision therefor is available in the fund source(s) from which the appointee's salary is paid.

h. In the event of termination of an appointment because of lack of work or lack of funds, the provisions of the Layoff Policy for Non-Senate Academic Personnel established by the University and as implemented by the campus shall apply.

i. The provisions of APM - 140, Appeals Policy--Non-Senate Academic Appointees, shall be applicable to appointees holding either of these two titles.

365-24 Authority

a. Each Chancellor is authorized to approve appointments, promotions, and merit increases within authorized salary ranges, after appropriate review, subject to the provisions of APM - 365-24-c and -d. Except as otherwise restricted below, this authority may be redelegated to the University Librarian. Copies of notice of such redelegation shall be submitted to the Secretary of The Regents, the Vice President--Academic and Staff Personnel Relations, the Assistant President--Coordination and Review, and the campus Accounting Officer.

b. Each Chancellor may approve within authorized salary ranges, as exceptions, promotions and merit increases having effective dates other than July 1. This authority shall not be redelegated.

c. Each Chancellor may approve, as exceptions, appointments, promotions, and merit increases retroactively (that is, with the beginning date of service prior to the actual date of approval) provided that a new appointee who is a citizen of the United States has completed and subscribed to the State Oath of Allegiance before entering upon the duties of employment. This authority shall not be redelegated for actions approved more than thirty-one calendar days after the effective dates.

d. Each Chancellor may approve, as an exception, an initial appointment or subsequent reappointment of any individual beyond the compulsory retirement age. (See APM - 365-96 for reporting procedures.)

365-35 Records

The provisions of APM - 360-35 apply to this series.

365-80 Procedures

a. Procedures for review and approval of appointments and merit increases of Associate University Librarians and

365-80 Procedures (continued)

Assistant University Librarians, and of promotions of Assistant University Librarians, shall be established by the Chancellor after receiving advice from the University Librarian, who shall consult with representatives of the campus Division of the Librarians Association. A written description of the review procedures shall be submitted to the Vice President--Academic and Staff Personnel Relations who will periodically review these procedures.

b. Procedures established to apply to the titles Associate University Librarian and Assistant University Librarian may be simplified, abbreviated, or waived for actions pertaining to these positions with Acting titles.

c. In the case of an appointment which is subject to Regental approval (because of salary above the regularly established range), the Chancellor's recommendation shall be submitted to the President with appropriate supporting documentation. If the President endorses the proposal, a recommendation will be submitted to The Regents that the action be approved. Upon Regental approval, the President authorizes the Chancellor to notify the appointee of The Regents' action.

d. The provisions of APM - 360-80-b, -c, -d, -e, and -f, modified as appropriate, apply to this series.

365-96 Reports

Each Chancellor shall submit to the Vice President--Academic and Staff Personnel Relations a fiscal-year report of all appointments and reappointments subject to the provisions of APM - 365-24-d. The report shall include the name, date of birth, title, department, salary, percent of time, the period of appointment or reappointment, and the retirement system from which the appointee retired.

365-99 Forms

See APM - 200-99.

140-0 Policy and Applicability

a. The policy set forth in this Section shall be applicable to all academic appointees of the University other than members of the Academic Senate and shall provide them opportunity for consideration of appeals. This policy is intended to protect appointees from arbitrary, capricious, or unreasonable actions by administrative officers, and use of this policy by an appointee shall not be discouraged by any means, either direct or indirect, by any person employed by the University.

b. Appointees covered by this policy shall have the opportunity to appeal on any matter concerned with their University employment except as limited by the provisions of APM - 140-0-c. (The term "appointee" as used in this policy includes for a period of thirty calendar days after termination individuals who have terminated employment with the University.)

It should be noted that Section 103.9 of the Standing Orders of The Regents provides that in the event of termination of the appointment of a member of the faculty before the expiration of the individual's contract, the appointee shall have the opportunity of a hearing before the appropriate committee of the Academic Senate.

c. Appeals of appointees for policy changes shall not be handled under the provisions of APM - 140 but shall be submitted through appropriate administrative channels. Appeals pertaining to title or salary matters shall be dealt with under the provisions of APM - 140 only if the actions complained of are alleged to result from discrimination because of race, color, religion, marital status, national origin, sex, physical or mental handicap, or, within the limits imposed by law or University regulations, because of age or citizenship. Other appeals pertaining to title or salary matters shall be submitted through appropriate administrative channels.

UNIVERSITY OF CALIFORNIA

140-6 Responsibility

a. It is the responsibility of each Chancellor, the Vice President--Agriculture and University Services, and the Academic Vice President to establish and publish regulations and procedures for appeals of non-Senate academic appointees under the respective officer's jurisdiction. Such regulations and procedures shall meet the criteria and standards set forth in APM - 140-10 and 140-80.

b. Regulations, procedures, and amendments thereto proposed to be issued pursuant to APM - 140-6-a shall be submitted to the President for approval thirty days prior to planned issuance and shall not become effective until approved as to legal form by the General Counsel of The Regents and approved by the President.

140-10 Criteria and Standards

Regulations and procedures for appeals shall provide for handling in accord with basic standards of fairness and the following requirements:

a. Opportunity shall be provided for the resolution of problems by means of informal discussion.

b. Any formal appeal shall set forth the nature of the grievance and shall be submitted in writing to an officer designated to serve in a liaison role during the appeal proceedings.

c. Reasonable time limits for the resolution of appeals shall be established. The total time period from the initial date of filing the appeal to the date of the final decision by the appropriate administrative officer shall not exceed ninety calendar days. Reasonable extensions of time may be granted in writing by the Chancellor, the appropriate Vice President, or the President.

d. Decisions on appeals shall be in accord with established University policies, regulations, and procedures which were in effect at the time of the action which is grieved.

140-10 Criteria and Standards (continued)

e. Reasonable arrangements shall be made for either party to listen to the tape recording required by the provision of APM - 140-80-c(4). At its own expense, either party may procure a copy of the recording. In addition, at its own expense, either party may make provision for a stenographic report of the hearing. Alternatively, the parties may agree to share the expense of a stenographic report.

f. If there is to be a closed hearing [see APM - 140-80-c(3)], all materials, reports, and other evidence introduced into the hearing and recorded by tape, stenographic, or other means shall be considered private and confidential and shall not be subsequently disclosed to parties other than those participating in the hearing.

g. The Chancellor, the appropriate Vice President, or the President, as the case may be in accordance with the provisions of APM - 140-80-c(7), shall become custodian of the tape, stenographic, or other recording(s) upon receipt of the report and recommendation from the Hearing Officer or Committee. Such recording(s) shall be retained for three consecutive years and then may be destroyed unless written permission is received from the appointee involved to destroy the recording(s) at an earlier time.

h. An appointee may petition that the President review the records, reports, and decision if:

(1) there are new facts to present which were not available at the time of hearing, and such facts have a material bearing on the recommendation which was made; or

(2) the established procedure has not been followed.

i. Such petition shall be initiated not later than thirty calendar days following the Chancellor's or other administrative officer's decision and shall explain:

(1) how the new facts might support a different recommendation or decision; or

140-10 Criteria and Standards (continued)

i. (continued)

(2) how the alleged procedural error precluded a decision other than the one which is the subject of the petition; or

(3) in what respect the decision is unclear.

140-80 Use of Appeals Policy

Regulations and procedures for appeal shall provide the appointee the right to elect whether to have the appeal heard by a University Hearing Officer, a University Hearing Committee, or a Non-University Hearing Officer. Such election by the appointee shall be final.

a. University Hearing Officers and University Hearing Committees

The Chancellor or the appropriate Vice President shall establish procedures for the selection and shall appoint a University Hearing Officer or a University Hearing Committee. When an appeal pertains to an action of any of these administrative officers, the President shall select and appoint the University Hearing Officer or University Hearing Committee.

University Hearing Officers and University Hearing Committee members shall be employees of the University.

b. Non-University Hearing Officers

As an alternative to use of a University Hearing Officer or University Hearing Committee, the appointee may elect in writing to have the matter submitted to a hearing by a Non-University Hearing Officer. In such case, the appropriate administrative officer shall request of the local office of the American Arbitration Association a list of five names of persons who are experienced in such matters. Upon receipt of such names, the parties shall arrange alternately to strike names, and the person whose name remains shall be become the Non-University Hearing Officer.

140-80 Use of Appeals Policy (continued)

c. Conduct of Appeal Proceedings

(1) The appointee whose appeal is being heard shall have the right of self-representation or to be represented by another.

(2) If the appointee is represented by another, the University shall be represented by the Office of the General Counsel or in such other manner as the Chancellor, the Vice President, or the President deems appropriate, except that the University shall be represented by the General Counsel if the appointee is represented by legally trained counsel.

(3) Unless both the administration and the appointee agree to an open hearing, the hearing shall be closed to the general public and deemed confidential. At the request of either party, the University Hearing Officer, the Non-University Hearing Officer, or the University Hearing Committee shall temporarily exclude from the hearing place during the testimony of a given witness all potential witnesses other than the appointee and the University official primarily involved in the action which is appealed.

(4) The hearing shall be tape recorded. (For further information concerning auditing, procuring a copy of, and retaining the recording, see APM - 140-10-e.)

(5) The provisions of APM - 160-20-c pertaining to the Committee on Privilege and Tenure apply also to a University Hearing Officer, University Hearing Committee, or Non-University Hearing Officer.

(6) After reviewing the evidence, the University Hearing Officer, the Non-University Hearing Officer, or the University Hearing Committee shall determine whether or not the action appealed was arbitrary or unreasonable. The Hearing Officer or Committee shall make findings of fact, which shall be

140-80 Use of Appeals Policy

c. Conduct of Appeal Proceedings (continued)

based upon substantial evidence, and a recommendation. A written report of the findings and the recommendation by the Hearing Officer or Committee shall be submitted to the Chancellor, the appropriate Vice President, or the President, as the case may be. The recommendation shall be in accordance with University policies and campus regulations.

(7) The recommendation of the University Hearing Officer, the Non-University Hearing Officer, or the University Hearing Committee shall be accepted, rejected, or modified within fifteen days after receipt of the recommendation by the Chancellor, appropriate Vice President, or the President, as the case may be.

If the recommendation of the Hearing Officer or Committee is accepted, the appropriate administrative officer shall so inform the individual who filed the appeal, and shall also provide a copy of the findings and recommendation of the Hearing Officer or Committee. In such case, if the appeal was heard by a Non-University Hearing Officer, the entire cost of the hearing, excluding attorney fees of the appointee, shall be borne equally by the University and the appointee, except that the University will absorb the cost of the initial tape recording.

If the recommendation of the Hearing Officer or Committee is rejected or modified, the appropriate administrative officer shall state the reasons in writing to the individual who filed the appeal, and shall also provide a copy of the findings and recommendation of the Hearing Officer or Committee. In such case, if the appeal was heard by a Non-University Hearing Officer, the entire cost of the hearing, excluding attorney fees of the appointee, shall be borne by the University.

THE UNIVERSITY OF CHICAGO LIBRARY

CHICAGO · ILLINOIS 60637

September 1980

POSITION OPEN: LIBRARIAN, ASSISTANT DIRECTOR FOR TECHNICAL SERVICES

The Assistant Director for Technical Services is responsible to the Director of the University of Chicago Library for administering the Technical Services Division. The Assistant Director has primary responsibility for planning, organizing and managing the Division's work, for coordinating the Division's activities with those of other Library units, and for representing the Division in Library-wide planning.

The work of the Division includes the acquiring, cataloging, binding and labeling of library materials in all forms, subjects and languages, except sound recordings, legal materials and materials in Far Eastern languages. The Division includes three departments: Acquisitions, Cataloging and Serials. The Acquisitions Department is responsible for pre-order searching, ordering, claiming and reports, receiving, and gift processing for all monographic materials; it is also responsible for fiscal operations for all book and serial funds. The Cataloging Department is responsible for cataloging and binding monographic materials, and for labeling monographic and serial materials. The Serials Department is responsible for acquiring, recording, cataloging and binding of serial materials. Most of the work of the Division is automated and is accomplished using the University of Chicago Library Data Management System.

Major Duties and Responsibilities

The major duties and responsibilities of the Assistant Director for Technical Services are to:

- Participate in Library-wide planning and policy formation
- Work with Division staff, principally Department heads, to establish operational goals and objectives for the Division, and to develop and allocate a budget for the Division
- Evaluate Division performance in meeting its operational goals and objectives
- Organize and administer the human and fiscal resources of the Division in anticipation of changes in priorities, operating procedures, workloads and budget
- Approve operating policies and procedures in the Division and serve as a resource for technical processing-related matters within the Library generally
- Manage highly automated, online bibliographic and technical processing operations and contribute to planning, design, and implementation of enhancements and efficiencies to these systems

Qualifications

Candidates for the position of Assistant Director for Technical Services must have a graduate degree in librarianship from a program accredited by the American Library Association.

Substantial professional experience in a research library including senior level supervisory and administrative experience in technical services is required.

Candidates will need to demonstrate a history of successful administrative experience as evidenced by:

- Comprehensive knowledge of library organization and procedures, particularly those of technical services
- Ability to relate with sensitivity to staff at all levels and to be responsive to needs and concerns of other Library units
- Effective leadership in the development and implementation of new programs
- Expertise or understanding, and experience in automated library systems
- Ability to be creative in planning and receptive to changing patterns of library operations
- Thorough understanding of national issues and developments in areas of technical services concern
- Ability to communicate effectively orally and in writing

Salary

Open, depending upon qualifications.

Environment

The University of Chicago is a private, nondenominational, coeducational institution of higher learning and research. It includes the undergraduate College, four graduate divisions and six graduate professional schools. There are 1,040 members of the faculty and a student enrollment of about 8,000, of which approximately two-thirds are graduate students.

The University of Chicago Library consists of the main service unit (the Joseph Regenstein Library), an undergraduate library (the William Rainey Harper Memorial Library) and six departmental libraries. Together, these facilities house research collections of more than 4.3 million volumes. There are 525 full and part-time members of the Library staff, of which 60 are librarians. About 150 clerical staff are covered by a collective bargaining agreement. The principal administrative officers of the Library are the Director, the Associate Director for Public Services, and three Assistant Directors: for Administrative Services, Systems, and Technical Services.

THE UNIVERSITY OF CHICAGO LIBRARY

CHICAGO · ILLINOIS 60637

POSITION OPEN: ASSOCIATE DIRECTOR FOR PUBLIC SERVICES

The Associate Director for Public Services is responsible to the Director of the University Library for managing the Public Services Group which includes Reference Services, Circulation Services, Collection Development and Area Programs. The Associate Director aids the Director in the preparation and allocation of the Library budget, shares the task of informing members of the University on Library matters and acts as the principal administrative officer of the Library during the absence of the Director.

SPECIFIC DUTIES AND RESPONSIBILITIES:

Establish overall goals and objectives and develop an effective organizational structure for the Public Service Group; participate in Library-wide planning, policy, and budget formation; plan and implement programs for strengthening the Library's collection and services to meet both short and long-term needs of the University for teaching and research; interact with University faculty on matters of policy and practice; work with regional and national agencies (e.g., library networks and consortia) towards cooperative policies and programs of access to and sharing of bibliographic data and material resources.

DESIRED QUALIFICATIONS:

Understanding of the aims, requirements and methodologies of academic research; ability to inspire, lead, and relate with sensitivity to subordinates; creative in thinking and receptive to changing patterns of library operations; sincere interest in establishing and maintaining high-quality relationships with all segments of the academic community; demonstrated stature within the field of library administration evidenced by factors such as publication and leadership in professional organizations.

A graduate degree in Library Science and a graduate degree in a subject area.

A minimum of ten years of broad professional experience in an academic or research library including at least five years of high level administrative responsibility for public services and collection development.

THE UNIVERSITY OF CHICAGO
THE JOSEPH REGENSTEIN LIBRARY
1100 EAST 57TH STREET
CHICAGO • ILLINOIS 60637

POSITION OPEN: HEAD OF COLLECTION DEVELOPMENT

The Head of Collection Development reports to the Associate Director for Public Services. It is the responsibility of this position to foster a coordinated program of collection development which is responsive to the needs of the Library's primary clientele, consistent with the institution's ability to acquire and maintain collections, and sensitive to the existence of other collections (locally, regionally, and nationally) which may be shared. The Head of Collection Development serves as a member of the Library Management Council.

Availability: Immediate

QUALIFICATIONS

Education

Advanced study in a field of the humanities or the social sciences including training in the bibliography and research methodology of the field. MLS from an ALA-accredited library school highly desirable.

Experience

Experience in the selection and development of a research collection for an academic library. Familiarity with the organization and operation of a major research library.

Other

Demonstrated facility in both written and verbal communications. Some supervisory experience desirable. Ability to interract successfully with Library colleagues and University faculty, individually and in groups. Knowledge of foreign languages.

SALARY:

Open, depending upon the qualifications of the applicant.

- - - - - - - - - - - - -

Application may be made on or before June 23, 1978

to: Jane E. Marshall
Personnel Officer
University of Chicago Library
1100 East 57th Street
Chicago, Illinois 60637

The University of Chicago is an Affirmative Action/Equal Opportunity Employer M/F

FEB 14 1980

PROPOSED OFFICIAL DRAFT

Submitted to Provost
3/2/78
and tentatively approved.

APPOINTMENT AND PROMOTION FOR PROFESSIONAL STAFF AT THE UNIVERSITY OF CHICAGO LIBRARY

I. Policy

Professional staff members of the University of Chicago Library receive nonfaculty academic appointments. The policy governing appointment and promotion of these staff members, excluding the Director, shall be as follows:

A. Probationary Appointment: Probationary Appointments shall be for either one or two years, provided that no person shall be appointed to serve a probationary appointment for a total of more than four years. The Director shall instruct the immediate supervisor to review the case and make recommendation that the Probationary Appointee be promoted or terminated by the end of the fourth year at the latest. The Director shall then make a decision, taking into account the immediate supervisor's recommendation and other factors, and notify the Probationary Appointee thereof, not later than six months prior to the end of the current appointment period. Probationary Appointment does not preclude termination during the appointment period for cause or financial exigency (See Section IV).

B. Intermediate Appointment: Intermediate Appointment shall be for a term of either three or four years provided that no person shall be appointed to serve for a total of more than seven years, nor a total of more than six years if the Probationary Appointment was for four years. The Director shall appoint an ad hoc committee (See Section V) to review the case and make a recommendation on promotion or termination by the end of the seventh year at the latest. The Director shall then make a decision, taking into account the ad hoc committee's recommendation and other factors, and notify the Intermediate Appointee thereof, not later than six months prior to the end of the current appointment period. Intermediate Appointment does not preclude termination during the appointment period for cause or financial exigency (See Section IV).

C. Indefinite Appointment: Appointment to this level shall signify permanent status within the Library. Indefinite Appointment does not preclude termination for cause or financial exigency (See Section IV).

II. Appointment

Librarians without previous library experience who join the Library staff will normally receive a Probationary Appointment. Librarians with previous library experience who join the Library staff will be reviewed in order to determine possible Intermediate Appointment. That review will be conducted by the Director utilizing the criteria described in Part III, Promotion.

Once appointment is determined, subsequent promotion may follow as outlined in the Policy Statement.

III. Promotion

A. The recommendation to the Director for promotion to Intermediate Appointment shall be made by an individual's immediate supervisor on the basis of satisfactory job performance.

B. The recommendation to the Director for promotion to Indefinite Appointment shall be made by the Ad Hoc Committee to Review Candidates for Promotion to Indefinite Appointment[1] on the basis of satisfactory job performance as reflected in the performance evaluation and the following criteria[2]:

1. Professional competence as evidenced by a) participation in policy determination within the individual's area of special competence or the Library in general; b) the exercise of independent judgement; c) the ability to analyze problems in the individual's area of special competence in relation to the Library as a whole; d) substantive knowledge of a subject field, where appropriate.

2. Professional development such as may be evidenced by any of the following: a) active participation in professional and/or scholarly organizations relevant to the candidate's position; b) publications relevant to the candidate's position; c) presentation of papers; d) reviews of books; e) participation in courses or work toward another degree relevant to the candidate's position; f) service as a member of a task force, team of experts or similar body consulting outside the Library; or g) other demonstrated evidence of continuing education or professional development.

3. Demonstrated administrative ability if administration is a major component of the candidate's position.

4. Demonstrated ability to accept increased responsibility when opportunities arise.

[1]See Section V for the composition and guidelines of the ad hoc committee.

[2]Not in rank order.

IV. Termination and Appeal

A. Involuntary termination of an employee's appointment may be one of three types: 1) Non-renewal of appointment for less than satisfactory performance, 2) Interruption of appointment for bona-fide financial exigency, or 3) Interruption of appointment for cause. In all cases except those of misconduct or willful neglect of duty, the employee will receive six months' notice of termination.

1. Non-renewal of appointment for less than satisfactory performance must be documented by the performance evaluation.

2. Interruption of appointment may be utilized by the Director in cases of bona-fide financial exigency.

3. Interruption of appointment may occur at any time for cause. Cause is limited to:
   a) Grave misconduct
   b) Inability to fulfill the professional functions and responsibilities of the position
   c) Willful neglect of duty

Appeal of termination may be made to the Provost.

B. Employees are to give at least one month's notice of their voluntary termination.

V. Ad Hoc Committee to Review Candidates for Promotion to Indefinite Appointment

A. Composition of the Committee

An ad hoc committee shall be appointed for each candidate by the Director and shall normally number four persons:

1. The Candidate's Division Head

2. The Immediate Supervisor (the Director shall designate another person to serve if the Division Head is also the Immediate Supervisor)

3. A Librarian with Indefinite Appointment, from another work unit if possible

4. The Personnel Officer (ex officio) as a non-voting member

B. Guidelines for the Committee

The Committee should consider only the merit of the candidate and not be influenced by budgetary or other outside considerations. The Committee's deliberations are confidential. The Committee should utilize the established criteria and request pertinent documentation from the candidate and other individuals knowledgeable about the candidate's performance. The Committee may interview the candidate.

Appointment and Promotion for Professional Staff at the University of Chicago Library

APPENDIX

The initial implementation of the appointment and promotion system shall be as follows:

1) Staff members having a nonfaculty academic appointment in the Library for ten or more years will automatically receive Indefinite Appointment.

2) Staff members having a nonfaculty academic appointment in the Library for five to nine years will receive Intermediate Appointment.

3) Staff members having a nonfaculty academic appointment in the Library for fewer than five years and no previous library experience will receive a Probationary Appointment. Staff members having a nonfaculty academic appointment in the Library for fewer than five years but with previous professional library experience will be reviewed by the Director to determine possible Intermediate Appointment.

Once Appointment is determined, eligibility for promotion to Intermediate Appointment will be based on the date of initial professional appointment. Eligibility for promotion to Indefinite Appointment will be based on the candidate's having a nonfaculty academic appointment in the University of Chicago Library for ten years or having Intermediate Appointment for three years, whichever comes first.

CLASSIFICATION DESCRIPTION

MASSACHUSETTS INSTITUTE OF TECHNOLOGY

TITLE ASSOCIATE DIRECTOR, M.I.T. LIBRARIES

BASIC FUNCTIONS AND RESPONSIBILITY

To direct and supervise the internal operations of the M.I.T. Libraries.

CHARACTERISTIC DUTIES AND RESPONSIBILITIES

Direct the development of planning for space utilization, automation, development and maintenance of special collections, services, libraries and the like.

Develop, implement and interpret policies, operating systems, and procedures to library staff and users of the libraries.

Direct supervision of the Resource Sharing Center Librarian and Systems Designer.

Coordinate activities of the Technical Services, Public Services, and Administrative Services units of the libraries.

Coordinate preparation of the library budget.

Direct performance evaluation system; make recommendations to the Director of Libraries concerning salary adjustments, hiring, promotions and terminations of personnel.

Plan, assign, coordinate and allocate staff to complete major projects, determine work priorities and schedules; review work progress and results with professional staff and department heads.

Provide professional and technical guidance to staff, faculty, executive officers, students, and other users of the libraries.

Participate in the development and presentation of research and grant proposals.

Serve as Chairperson, ex officio of all search committees.

Serve as Secretary of Faculty Committee on the Library System.

Serve as Chairperson, ex officio of the Staff Review and Development Committee.

Conduct and participate in professional associations, conferences and meetings. Provide significant contributions and innovative concepts related to the advancement of the profession, and academic discipline or status of the Institute.

Represent the Institute Libraries at public functions and in communication and correspondence, and complete special projects as required.

Assume responsibilities of Director in absence of Director.

SUPERVISION RECEIVED

Direction is received from the Director of Libraries.

SUPERVISION EXERCISED

Administrative and functional supervision is exercised over professional personnel and administrative and support staff in the library system.

QUALIFICATIONS

A Masters Degree in Library Science from an ALA accredited library school is required.

At least 10 years of increasingly responsible experience in an academic/research library environment including at least three years in a major administrative capacity.

Very extensive demonstrated knowledge of current information retrieval techniques applicable to library operations is necessary.

Relevant post-graduate training or research in a related subject field is desirable.

CLASSIFICATION DESCRIPTION

MASSACHUSETTS INSTITUTE OF TECHNOLOGY

TITLE Assistant Director for Administrative and Personnel Services, M.I.T. Libraries

BASIC FUNCTION AND RESPONSIBILITY

To direct, develop, and administer all activities in the M.I.T. Libraries relating to personnel (except professional librarian recruitment and advancement), budgeting, accounting, space utilization and renovation, supplies and equipment, building maintenance, and delivery systems.

CHARACTERISTIC DUTIES AND RESPONSIBILITIES

Participate in overall administration of the library system.
Administration of Institute personnel policies and practices for support and exempt staff and personnel records management for entire library staff. Administers Libraries' orientation program.
Participates in the preparation of the library budget.
Expenditure control of annual budget totalling over $4 million.
Direct supervision of staff in four major areas: personnel, accounting, messengers, budgeting.
Oversees preparation of research proposals emanating from the Libraries. Reviews all proposals before forwarding them to Director of Libraries. Negotiates for the Libraries with prospective funding agencies.
Administers library accounting operation in close coordination with the Comptroller's Office and other fiscal entities.
Evaluate performance of library staff; make recommendations to the Director concerning salary adjustments, hiring, promotions and terminations of personnel.
Deals directly with the Office of Sponsored Programs in all activities involving the Libraries.
Serves as the Libraries' representative in all dealings with the DCAA Auditors and indirect cost recovery negotiations.
Conduct and participate in professional associations, conferences and meetings. Contribute to advancement of the profession and status of the Institute.

SUPERVISION RECEIVED

Direction is received from the Director and Associate Director of Libraries.

SUPERVISION EXERCISED

Administrative and functional supervision is exercised over professional and support personnel in the administrative units of the library system.

QUALIFICATIONS

Masters degree in business or management or equivalent combination of education and experience. M.L.S. useful but not essential.
Extensive (at least 8 years) experience in personnel and fiscal administration in an academic institution required with some knowledge of or experience in libraries highly desirable.
Demonstrated knowledge of current information retrieval techniques applicable to library operations is necessary. A knowledge of systems analysis and computer technology applicable to library operations is desirable.

CLASSIFICATION DESCRIPTION

MASSACHUSETTS INSTITUTE OF TECHNOLOGY

TITLE Assistant Director for Public Services, M.I.T. Libraries

BASIC FUNCTION AND RESPONSIBILITY

To direct and supervise the operations and administration of the divisional, branch and reading room units of the library system as well as all other public service activities both internal and external.

CHARACTERISTIC DUTIES AND RESPONSIBILITIES

Participate in the overall administration of the library system.
Supervise and coordinate the activities of the divisional and branch libraries; responsible for services and operations.
Supervise the system's computer bibliographic search service.
Develop, implement and interpret policies, operating systems and procedures to library staff and users of the libraries.
Responsible for all matters relating to the use of the Libraries by non-M.I.T. affiliated individuals and organizations.
Serve as liaison between public service departments and other parts of the libraries, particularly technical services areas.
Plan, assign, coordinate and allocate staff to complete major projects, determine work priorities; and review work progress and results with professional staff and department heads.
Participate in preparation of the library budget.
Participate in the preparation of grant proposals.
Evaluate performance of library staff; make recommendations to the Director concerning salary adjustments, hiring, promotions and terminations of personnel.
Liaison to reading rooms not fiscally responsible to the Director. Provide advice, arrange for services, coordinate activities with the Libraries.
Conduct and participate in professional associations, conferences and meetings. Contribute to advancement of the profession and status of the Institute.
Advise senior Institute officers, faculty, alumni, staff, students, and general public on M.I.T. library policy and services.

SUPERVISION RECEIVED

Direction is received from the Director and Associate Director of Libraries.

SUPERVISION EXERCISED

Administrative and functional supervision is exercised over professional and support personnel in the divisional and branch library units of the library system.

QUALIFICATIONS

A Masters Degree in Library Science from an ALA accredited library school is required.
At least 8 years of increasingly responsible experience in an academic/research library including at least three to five years in a major administrative capacity is required.
Demonstrated knowledge of current information retrieval techniques applicable to library operations is necessary. A knowledge of systems analysis and computer technology applicable to library operations is desirable.
Relevant post-graduate training or research in a related subject field is desirable.

PLEASE POST

The Libraries
Massachusetts Institute of Technology
Cambridge, Massachusetts, 02139

Office of the Director
Room 14S-216

ANNOUNCEMENT OF STAFF VACANCY

Title: Associate Director of Libraries

Description: Responsible, under the Director of Libraries, for the day-to-day operation of the M.I.T. Libraries, a system of 20 organizational units containing more than 1.75 million printed volumes and with a total staff of more than 200. Major areas of administration include technical services, professional personnel, automation, space planning, and the Resource Sharing Center (an on-campus storage facility). Shares with the Director responsibility for long-range planning, liaison with Institute faculty and administration, program planning, and development. Serves as chairperson ex officio of all search committees. Serves as Secretary of Faculty Committee on the Library System and on various Institute committees.

Qualifications: MLS from an accredited library school. At least 10 years of increasingly responsible experience in an academic/research library environment including at least three years in a major administrative capacity. Applicants should have an understanding of the present trends and future directions of academic/research libraries as well as expertise in one or more of the areas described above.

Available: September, 1979

Interested individuals should send resumes including the names of at least three current references to:

Search Committee
Room 14S-216
M.I.T. Libraries
Cambridge, Massachusetts 02139

Please submit applications by June 15, 1979.

M.I.T. is an equal opportunity employer with an affirmative action plan and welcomes applications from qualified women and minority candidates.

PLEASE POST

The Libraries
Massachusetts Institute of Technology
Cambridge, Massachusetts 02139

Office of the Director
Room 14S-216
(617) 253-5651

ANNOUNCEMENT OF STAFF VACANCY

Title: Assistant Director of Libraries for Administrative and Personnel Services

Description: Responsible under Director of Libraries for administration and development of activities in the M.I.T. Libraries relating to financial operations; support, exempt and student staff; buildings; and purchasing. Specific duties include preparation and submission of budget exceeding $4 million, control of expenditures and financial reports, participation in preparation of and review of research proposals, utilization and renovation of space, personnel orientation programs. Supervises and directs accounting, purchasing, and personnel administration groups. Serves as the Libraries' principal contact with major Institute administrative offices including Accounting, Physical Plant, Purchasing, Budget, Lincoln Laboratory Fiscal Office, Comptroller, Office of Sponsored Programs. As member of the Libraries' Steering Committee along with Director, Associate Director, and Assistant Director for Public Services, responsible for overall administration of library system, policy determination and implementation, salary review and promotion process. Represents M.I.T. on committees of the Boston Library Consortium and NELINET.

Qualifications: Master's degree in business or management or equivalent combination of education and experience. Library degree useful but not essential. At least 10 years' experience in fiscal and personnel administration in an academic institution required. Knowledge of or experience in libraries highly desirable.

Available: January 1, 1980

Interested individuals should send resumes including the names of three current references to:

Search Committee, Assistant Director
for Administrative and Personnel Services
The Libraries, Room 14S-216
Massachusetts Institute of Technology
Cambridge, Massachusetts 02139

M.I.T. is an equal opportunity employer with an affirmative action plan and welcomes applications from qualified women and minority candidates.

PLEASE POST

The Libraries
Massachusetts Institute of Technology
Cambridge, Massachusetts 02139

Office of the Director
Room 14S-216
(617) 253-5651

ANNOUNCEMENT OF STAFF VACANCY

Title: Assistant Director for Public Services

Description: Responsible, under the Director and Associate Director, for directing and supervising the operations and administration of the divisional, branch and reading room units of the library system as well as all other public service activities both internal and external. The M.I.T. Libraries are a system of 20 organizational units containing more than 1.8 million volumes, with a staff of more than 200. The Assistant Director for Public Services is a member of the Libraries' Steering Committee along with the Director, Associate Director, Assistant Director for Collection Management, and Assistant Director for Administrative and Personnel Services. Shares responsibility with other Steering Committee members for overall administration of library system, policy determination and implementation, salary review and promotion process.

Qualifications: M.L.S. from an accredited library school. At least eight years of increasingly responsible professional experience in an academic/research library including at least three years in an administrative capacity in public services. Candidates should have extensive experience with the application of technology in research libraries including automated circulation systems and on-line data base searching. Knowledge of and/or experience in collection development in academic/research libraries required. Background in science and technology is desirable.

Interested individuals should send resumes including the names of three current references, by September 30, 1981, to:

Search Committee for Assistant Director for
Public Services
The Libraries, Room 14S-216
Massachusetts Institute of Technology
Cambridge, Massachusetts 02139.

M.I.T. is an equal opportunity employer with an affirmative action plan and welcomes applications from qualified women and minority candidates.

The Libraries
Massachusetts Institute of Technology
Cambridge, Massachusetts 02139

Office of the Director
Room 14S-216
(617) 253-5651

SEARCH PROCEDURE

Assistant Director for Public Services

Internal library posting
Listing in Tech Talk "Positions Available"
Notification to M.I.T.'s Special Assistants to the President
Notices to placement offices of all accredited library schools in the United States and Canada
Notice to Atlanta University School of Library Service, a predominantly Black school
Notices to Harvard University Libraries and to members of the Boston Library Consortium
Notices to all member libraries of the Association of Research Libraries
Listings at the Placement Referral Service, Massachusetts Board of Library Commissioners, Boston; Jobline of the New England Library Board, Augusta, ME; National Registry for Librarians, Chicago
Notices to American Library Association affiliated groups: Black Caucus, Asian/Pacific American Librarians Caucus, Chinese American Librarians Association, National Association of Spanish-Speaking Librarians, American Indian Library Association, Feminist Task Force
Personal contact with minority librarians in major administrative positions in academic and research libraries
Listings in the NELINET Liaison; HUL [Harvard University Libraries] Notes
Advertisements in The Chronicle of Higher Education; College and Research Libraries News; American Libraries; Affirmative Action Register

M.I.T. LIBRARIES PERFORMANCE EVALUATION SYSTEM

A. Policy
1. Objectives
2. Administration
3. Reporting Period
4. Participants
5. Form
a. Written vs. Oral
b. Evaluation Forms
6. Record Keeping
a. Retention
b. Access
B. Procedure

A. Policy

1. Objectives

a. Help librarians grow and improve in their present job assignments, in self-development, and in setting appropriate goals for future growth.

b. Provide librarians with an assessment of the quality of their performance.

c. Assist in the determination of salary recommendations.

d. Strengthen communication and understanding between librarians and their supervisors.

e. Contribute to the identification of candidates for promotion.

2. Responsibility for Administration.

The performance review system and procedures will be administered by the Associate Director of Libraries in consultation with Steering Committee and others as appropriate. The system will be continuously reviewed, assessed, and updated.

3. Reporting Period

a. A performance evaluation of the librarian and equivalent staff will be conducted during the month of January.

b. All newly-appointed librarians will be evaluated on the six-month anniversary of appointment, unless the anniversary date falls within one month either way of the January review. In this case, the six-month review will coincide with the regular January review. Subsequent evaluations will be made at the time of the regular annual review.

4. Participants

Ordinarily, librarians will be evaluated by their immediate supervisors. In some situations, the librarians may be evaluated, at their request, by more than one supervisor, for example, the immediate supervisor and department head.

5. Form

a. The performance evaluation may be written or oral, at the option of the librarian being reviewed, except as follows:

i. Newly-appointed librarians must have written evaluations at the six-month anniversary of appointment.

ii. Librarian I's must have written evaluations until promotion to Librarian II has occurred.

iii. All librarians must have written evaluations at least once every three years unless exempted by the Asscciate Director of Libraries.

b. The forms used will be prepared by the Associate Director in consultation with others as appropriate; the forms are subject to change and modification to reflect experience with the process. The following forms are currently in use (samples are attached):

Part I.	Review of Accomplishments	(Librarian)
Part II.	Goal-Setting Statement	(Librarian)
Part III.	Performance Evaluation	(Supervisor)
Part IV.	Interview Summary Sheet	(Librarian and Supervisor)

6. Record Keeping

a. Written performance evaluations will be retained in the Director's Office for one year. The last two written evaluations for Librarian I's will be retained. Supervisors will not keep copies in their files. At the request of librarians, the written evaluations may be made a part of their permanent personnel files.

b. Access to the written evaluations is limited to the individual, the immediate supervisor and/or department head, and the Library administration.

B. Procedure

1. The forms and explanatory memoranda will be prepared by the Associate Director and distributed to Department Heads by the end of December each year. Department Heads will distribute them to each librarian on their staff.

2. Each librarian will notify the supervisor as soon as possible of the nature of the evaluation (i.e., oral or written). Librarians seeking exemption from the mandatory three-year written evaluation should address a request in writing to the Associate Director stating the reason for the request.

3. Interviews will be scheduled by the supervisor; it is suggested that at least an hour for each interview be allowed.

4. Each librarian and supervisor completes forms or prepares for oral discussion. Written forms are exchanged the day before a scheduled interview.

5. Oral interview will be held; the Interview Summary Sheet will be signed for oral as well as written evaluations.

6. All forms will be forwarded by the Department Head to the Associate Director.

4 August 1982

M.I.T. LIBRARY STAFF PERFORMANCE EVALUATION Name_____

Part I.

REVIEW OF ACCOMPLISHMENTS--LIBRARIAN

This part provides an opportunity for the staff member to describe accomplishments during the past year including goals achieved, special projects, and increased responsibilities. The staff member may comment on how improvements can be made and where additional assistance or guidance in this job might be given; also a review of the supervisor by the librarian may be included here. A second portion of the review might describe professional activities including education during the year, special library or Institute assignments, active membership in professional organizations, offices held, research, and publication.

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M.I.T. LIBRARY STAFF PERFORMANCE EVALUATION Name_____

Part II.

GOAL-SETTING STATEMENT--LIBRARIAN

The librarian should describe goals for the coming year for regular assignments, special projects, and professional development.

_____
Librarian

M.I.T. LIBRARY STAFF PERFORMANCE EVALUATION Name_____

Part III.

PERFORMANCE EVALUATION--SUPERVISOR

This part is a review of the librarian's performance and is prepared by the supervisor concurrently with the librarian's preparation of Parts I and II. The following areas may serve as guidelines where appropriate:

1. Initiative. Comment on ability to act decisively, effectively, and at appropriate times; to be resourceful in dealing with complex as well as routine situations; and to anticipate needs and take necessary action without being directed to do so.

2. Judgment and decision-making. Comment on the librarian's ability to consider the short-term, long-term, and system-wide consequences of decisions made; and to apply good judgment in work situations.

3. Professional development. Consider activities over and above the regular job assignment that have had a bearing on the librarian's professional growth.

4. Professional knowledge. Consider knowledge of bibliographic resources and ability to use these effectively in order to implement job responsibilities and policies of the library.

5. Quality of work. Consider the degree of excellence of a completed assignment in view of the amount of time and effort expended; also consider thoroughness in following to completion.

6. Quantity of work. Comment on ability to plan, organize, and schedule work; to set and meet realistic performance goals; to carry work load involving varied and concurrent activities; and to handle special assignments.

7. Relations with other people; communications. Comment on ability to build and maintain good relations with colleagues and library clientele; to cooperate with members of own and other departments; to respond positively to criticism; and to communicate effectively with supervisor.

8. Supervisory skills. Comment on ability to select, place, and train personnel; to assist and to delegate work; to define authority and responsibility; to guide and lead; to produce an effective working team; to conduct objective performance appraisals; and to promote and encourage staff development.

PG 6 (blank) not included
in SPEC kit

M.I.T. LIBRARY STAFF PERFORMANCE EVALUATION

Part IV.

INTERVIEW SUMMARY SHEET

May be used to indicate any changes or objectives agreed upon.

[Signed]

Librarian_____ Supervisor_____

Date_____

Indicate here if these forms are to be retained in the librarian's permanent personnel file:

2.40 ACADEMIC ADMINISTRATIVE, LIBRARY, AND ADMINISTRATIVE STAFF APPOINTMENTS

These appointments include individuals with professional or administrative responsibilities in the central administration, departmental administration, or in the M.I.T. Libraries. They assure the provision of services essential to the support of the educational and research objectives of the Institute, whether within the library system, the academic departments, or in such central functions as financial and personnel administration, medical, student services, data processing, public affairs, resource development, and operations.

These appointments are encompassed within the Institute's Staff Salary Administration Program in which each position has been assigned an associated salary range based on an evaluation of level of education and experience required in the position and the difficulty, responsibility, and impact on Institute affairs inherent in the position. A full-time staff appointment implies a primary commitment to the responsibilities of the position and the goals of the Institute, and the compensation provided the individual as a full-time member assumes that commitment. Salaries of staff members will not be augmented from funds administered by M.I.T., except as provided for in the normal pattern of promotion and salary review. Exceptions are occasionally made, with prior approval of the Chancellor, when it is advantageous to the Institute to utilize a staff

member's secondary skill part-time, for example, as an athletic coach, when it can be done without detriment to the staff member's primary commitment.

These staff appointments are covered by the Staff Benefits Program and include four weeks of vacation after 12 months of service. They do not include consulting privileges as defined for members of the faculty. However, specific instances of consulting service may be undertaken with the department head's prior written approval if the department head is satisfied that each such activity will contribute significantly to the professional growth and development of the individual and to the individual's professional service to M.I.T. or to M.I.T.'s service to society at large, and that the individual's normal responsibility and contribution to M.I.T. will not thereby be diminished. Moreover, outside professional activity over and above the individual's regular full-time commitment to the Institute is not precluded. Persons holding such appointments will be asked annually by their department heads to report on their outside professional activities and business interests and relationships, identifying any which have the potential appearance of conflict with the Institute's interests. The Committee on Outside Professional Activities is available for consultation with staff members and administrative department heads in doubtful situations or those of unusual complexity.

These staff appointments are normally for no specified term. They may be terminated for cause, including

misconduct or unsatisfactory performance. They may also be terminated for lack of work or funds or other operational reasons, with notice as provided in Section 3.26.

2.41 ACADEMIC ADMINISTRATIVE STAFF

The academic administrative staff consists of individuals without other academic appointments whose principal responsibilities involve administration in an academic department or School. Appropriate descriptive titles, including those of Administrative Officer and Administrative Assistant, are assigned by the department to define responsibilities within the department. These are academic staff appointments and are initiated on the "Faculty and Academic Staff Appointment Form" which is then forwarded for processing to the Faculty and Academic Staff Records Office by the dean, the salary range of the position having previously been established in coordination with the Wage and Salary Administrator and with the affirmative action serious search requirement having been fulfilled.

2.42 LIBRARY STAFF

The library staff consists principally of professionally trained librarians with varying levels

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of responsibility with the M.I.T. Libraries. Appropriate descriptive titles to identify function are often used to define responsibility in addition to the salary administration classification. The M.I.T. Librarians are members of the academic staff and appointments are initiated on the "Faculty and Academic Staff Appointment Form" by the Director of Libraries and forwarded to the Provost for approval and transmission to the Faculty and Academic Staff Records Office following fulfillment of the affirmative action serious search requirement, the classification and salary range of the position having previously been established in coordination with the Wage and Salary Administrator.

MIT Personnel Policy Manual

Section	6.0 TERMINATION POLICIES	Page	1 of 2
Subject	Termination for Poor Performance or Failure to Comply with Institute Policies	Number	6.3
		Revised	6/1/79

It is the responsibility of supervisors to evaluate on a continuing basis the work performance of those who work under their direction. This responsibility includes giving recognition for work well done, identifying less than satisfactory performance, discussing the deficiencies with the employee, and terminating those who are unable or unwilling to meet the expected standards of performance.

The decision to terminate an employee is a matter which requires careful evaluation. This action requires the concurrence of the Personnel Office and should be discussed with the Personnel Officer assigned to the department as soon as the supervisor identifies a pattern of poor performance or an incident of misconduct.

6.3.1 Termination During the Probationary Period

The probationary period is a formal period of time, normally six months, during which a new employee's actual performance is compared with that originally expected. If a supervisor determines that work performance is unsatisfactory during or at the end of this period, a discussion should be held with the employee pointing out the deficiencies and the measures that should be taken to correct them. If the employee continues to perform at an unacceptable level, the Personnel Officer should be consulted to assist in working out corrective measures and, if necessary, in determining whether termination is indicated.

Reasonable notice of termination should be given to the employee when the decision to terminate him or her has been made. If an assessment of performance does not warrant immediate termination, the probationary period may be extended, and the employee should be notified of such an extension.

6.3.2 Termination for Cause

A wide variety of instances of poor performance or failure to comply with Institute policy may occur which require disciplinary action on the part of Institute supervisors and managers. The Institute relies on their judgment and understanding of these situations to work out, in cooperation with the Personnel Office, reasonable solutions to these performance and conduct problems which will be fair and equitable to both the employee and the Institute.

Unsatisfactory work performance or conduct on the job may first be observed by a manager or a supervisor when an employee is unable to complete assigned tasks in a reasonable period of time, reports late to work, fails to complete work assignments, and other similar incidents. Poor work habits must be brought to the attention of the individual promptly before they become weekly or daily occurrences. The individual must be given an opportunity to improve his or her work performance before formal disciplinary steps are taken. A frank discussion between the supervisor and the individual is normally necessary to resolve an issue, where the employee has the opportunity to understand the supervisor's criticism and provide an explanation of his or her actions.

The application of formal disciplinary procedures may be warranted to address an individual's failure to perform the duties and responsibilities of the work to the satisfaction of the manager or supervisor. A disciplinary procedure normally follows a pattern of oral and written warnings. Unusual circumstances may warrant a suspension from work without pay for a period of time when in the collective judgment of a manager or supervisor and the Personnel Office such an action may lead to the resolution of an issue.

A serious breach of discipline, such as disorderly conduct, refusal to perform work, etc., dictates that a manager or supervisor take immediate action. In such circumstances the supervisor or manager should inform the employee that he or she is being suspended without pay. The employee should also understand that the suspension does not by itself represent a final action in the matter. The employee should therefore be told not to return to work until officially advised to do so by the supervisor. After suspending an employee under these circumstances a manager or supervisor should contact the Personnel Office to discuss the circumstances of the employee's action and to formulate a final resolution of the issue.

Massachusetts law requires that persons terminated for cause must be paid on the day of discharge for all wages earned up to the day and time of termination. However, if the discharged employee owes money to the Institute, and/or refuses to return Institute property, the money owed and/or an equivalent dollar value of the property may be deducted from the final check.

MIT Personnel Policy Manual

Section	3.0 EMPLOYMENT PRACTICES	**Page**	1 of 2
Subject	Grievance Procedure	**Number**	3.4
		Revised	9/1/81

Any M.I.T. student and any person employed at M.I.T. who believes that he or she has been treated unjustly for any reason, or that the Institute's stated policy of nondiscrimination has been violated, should have access to a clear means of seeking redress.

All employees at M.I.T. who are represented by a labor union are covered by collective bargaining agreements which include grievance and arbitration procedures and equal opportunity provisions.

All other persons employed by M.I.T., who have a concern, grievance, or inquiry about their employment should seek first to discuss their work situations and problems with their immediate supervisors. Supervisors are expected to provide a supportive environment which fosters open communication related to work life at the Institute and are encouraged to resolve work problems and grievances at the departmental level. If the problems are not resolved with their immediate supervisor, individuals may choose to discuss the problem with successively higher supervisors in the office, department, laboratory, or school. In the cases of other than academic staff members, this process may include the departmental Administrative Officer and/or Personnel Officer in the Office of Personnel Services on campus or their Personnel Representative at Lincoln Laboratory. Individuals who are not satisfied with these discussions should consider talking with the Director of Personnel on campus or the Personnel Manager at Lincoln Laboratory. Individuals who feel that the matter has not been resolved may then take the problem to one of the two Special Assistants to the President. Either of them will discuss the apparent alternatives with the individual and will attempt to resolve the complaint. If the problem is not resolved, the Special Assistant may recommend that a formal inquiry be conducted.

In most instances it is expected that individuals will take concerns, inquiries, and complaints through the process specified above. There may be unusual circumstances which warrant direct inquiries with any of the above persons regarding advice about a work situation.

Individuals should feel free to obtain the support and assistance of a co-worker or any other M.I.T. associate in presenting their concerns. Throughout the entire process, the individual should be assured that the information provided will be kept confidential insofar as the individual wishes it or until such time as the individual agrees that a third party or parties must be informed to facilitate action. It is the Institute's policy that individuals will not be reprimanded nor discriminated against in any way for initiating an inquiry or complaint. It is also the Institute's policy to protect the rights of an individual against whom complaints are brought.

Once an inquiry or complaint is presented, a sincere attempt should be made at each step to either resolve the problem or refer it to the next step within one week. If this time schedule cannot be met, the status of the investigation should be communicated to the parties involved on a weekly basis. In cases where response or resolution is delayed more than two weeks, the individual may, after informing his or her supervisor, elect to proceed to the next level indicated in the above procedure.

The above procedure serves also as the grievance procedure for employees as required by Title IX of the Federal Education Amendments of 1972 with regard to grievances arising out of alleged discrimination on the basis of sex, and to handicapped employees alleging failure to comply with Section 503 and 504 of the Rehabilitation Act of 1973.

Undergraduate and graduate disciplinary procedures are available for students to seek resolution of grievances vis-a-vis other students.

For grievances related to their academic or work situations, students are encouraged to seek resolution of grievances directly with their immediate work supervisors, faculty, instructors, and academic advisors--as appropriate to the nature of perceived unjust treatment. If a problem cannot be resolved at this level, students should either seek assistance within their department or school or avail themselves of the assistance of the Office of the Dean for Student Affairs or the Office of the Dean of the Graduate School. Students may also choose to bring the problem to the attention of one of the two Special Assistants to the President.

As in the case of the grievance procedures described for employees, it is Institute policy that students will not be reprimanded or discriminated against for initiating an inquiry or complaint and that the rights of the individual against whom a complaint is made are protected.

These procedures are available similarly to students for the purpose of resolving complaints alleging actions prohibited by Title IX, and to handicapped students alleging failure to comply with Section 503 and 504 of the Rehabilitation Act of 1973.

University of North Carolina

September 1, 1981

INTERNAL STRUCTURE FOR THE RANKING OF LIBRARIANS

The basic purpose of the Internal Structure for Ranking of Librarians is to provide for the recognition of excellence in the professional librarian. Promotion in rank is designed to encourage and reward superior library service in non-administrative as well as administrative positions.

I. APPOINTMENT, REAPPOINTMENT, AND PROMOTION OF PROFESSIONAL LIBRARIANS

A. General Provisions

1. Length of appointments

In accordance with University policy, as outlined by Employment Policies for EPA Non-Faculty Employees of the University of North Carolina at Chapel Hill (hereinafter Policies), appointment to any EPA Non-Faculty library position is for the following stated terms, based on rank:

Librarian, 5-year term
Associate Librarian, 5-year term
Assistant Librarian 4-year term if initially appointed as Assistant Librarian; 3-year term if promoted from General Librarian, or reappointed as an Assistant Librarian
General Librarian, 1-year term

Beyond the probationary period(s) (see I.A.2.), such appointments will normally be renewed at the expiration of the term upon favorable evaluation by the librarian's department or division head. Employment may be terminated prior to expiration of the stated term due to financial exigency or program curtailment or elimination, or cause (see Policies, Section III, C. and D.).

2. Probationary appointments

A probationary appointment requires that a decision be made and communicated to the probationer prior to its expiration whether he/she will be reappointed or not reappointed upon its expiration. The probationary period for a General Librarian may be for a maximum of four years. There is a probationary period of three years for an Assistant Librarian who has been promoted from the rank of General Librarian. A librarian initially appointed to the rank of Assistant Librarian has a probationary period of four years, which may be followed by a second probationary period of three years (see Art. I.B.1. and 2.). The standards and procedures for making and communicating a decision not to reappoint are provided in Art. I.A.4. No probationary period for either a General Librarian promoted to Assistant Librarian or a librarian appointed initially to the rank of Assistant Librarian shall exceed a total of seven years. Normally a librarian will serve at least four years in the probationary ranks.

3. Early review

A divisional chairman or department head may recommend an early review for promotion from General to Assistant Librarian, from Assistant to Associate Librarian, or from Associate Librarian to Librarian. Requests for advance consideration, if not approved, will not affect the date at which the next scheduled review will be made.

4. Procedures for appointments, reappointments, and promotions

Initial appointment of General Librarians and Assistant Librarians and reappointments of General Librarians shall be made by the University Librarian, in consultation with the division chairman and department head concerned. Each promotion from General to Assistant Librarian and each reappointment of an Assistant Librarian shall be initiated by the University Librarian upon evaluation by the individual's department head or division head. The department head or division head will prepare the evaluation for each person being reviewed. In appropriate cases, the immediate supervisor of the person being reviewed will be consulted regarding the evaluation.

Each recommendation for appointment or promotion to the rank of Associate Librarian or Librarian shall be referred by the University Librarian for advice to the appropriate Library Appointment and Promotion Committee as specified in Art. II.A. and B.

5. Decision not to reappoint

A decision not to reappoint upon expiration of a probationary appointment as General Librarian or Assistant Librarian will be made by the University Librarian with the advice of the probationer's division chairman. (A probationary appointment is 1 year for a General Librarian and 3 or 4 years for an Assistant Librarian.) A decision not to reappoint an Associate Librarian or Librarian will follow these same procedures; however, appointments to these ranks will normally be renewed (see I.A.1.). The probationer's division chairman shall advise the University Librarian only after consultation first with the department head and then with the assembled Librarians of his/her division. All individuals involved in this ranking process must maintain strict confidentiality regarding the individual case. The decision is committed to the professional judgment of the University Librarian after the advice and consultation herein provided. If the decision is not to renew or extend the term contract, "(1) with respect to a term of one year or less, no notice of intent not to renew shall be required; (2) with respect to a term of more than one year, notice of intent not to renew shall be transmitted in writing at least 90 days prior to the expiration of the term. Failure to provide written notice as required in subsection (2) shall result in the automatic extension of employment for a period of 90 days beyond the scheduled expiration date of the term" (Policies, Section III, B.). Any factor deemed by the University Librarian to be relevant to total institutional interests may be taken into account in exercise of this professional judgment and may form, in whole or in part, the basis of the decision, except that a decision not to reappoint may not be based upon: (1) exercise by the probationer of rights guaranteed by the First Amendment to the United States Constitution or by Article I of the North Carolina Constitution; (2) discrimination based on race, color, national origin, sex, religion, handicap, or age; (3) personal malice (see Policies, Section V and VI). In addition to direct individual notification of decision not to reappoint, the University Librarian shall also communicate this decision to the appropriate division chairman and department head. A decision not to reappoint upon expiration of a probationary period may be appealed (see Article I.A.6.) in accordance with regulations outlined in Policies, Section IV.

6. Suspension or discharge

Permissible grounds for the discharge or suspension of a librarian are specified in Policies, Section III, D.

7. Appeal procedure

A librarian wishing to appeal non-reappointment, suspension, discharge, or the rank assigned has access to the Library Appeal Procedure (see Art. IV.). After all internal appeals have been completed, if the librarian feels that he/she has a real grievance, he/she may then take his/her case to the EPA Non-Faculty Grievance Committee (see Policies, Section IV.).

8. Initial rank assignment

The University Librarian will assign the initial rank to General and Assistant Librarians at the time of appointment in consultation with division chairmen and/or department heads. Initial rank assignment at the Associate Librarian or Librarian level will be made by the University Librarian at the time of appointment after receiving recommendations from the appropriate Appointment and Promotion Committee.

9. Policy changes

If changes in policy or procedures are found necessary by the ranking committees and/or the University Librarian, these proposed changes will be sent to the Ranking Procedures Committee that will incorporate the changes into the ranking document. The revised document will be presented to the librarians in writing and discussed at a meeting. The University Librarian will call the meeting and notify all librarians. Any changes should have the approval of a majority of the librarians.

The Ranking Procedures Committee, appointed by the University Librarian, will serve as an advisory committee to the University Librarian on procedural matters regarding the ranking structure and is responsible for revision and maintenance of the ranking document.

B. Ranks

In considering an individual for appointment, reappointment, promotion, or termination, both job performance and professional growth and development will be considered. It should be understood that for promotion, an excellent job performance record is a necessity. Ranks to which appointment may be made and the incidents of employment applicable are as follows:

1. General Librarian

General Librarian is the beginning rank. It is for persons whose duties require a knowledge of basic professional skills and techniques or specialized linguistic or subject competence. The librarian appointed to this rank normally possesses a graduate degree in Library Science or in a special field relevant to the position. Although this person has little or no experience as a professional librarian, he/she may have several years of relevant paraprofes-

sional experience.* Normally, this person has had little or no participation in professional organizations, meetings, conferences, committee service, or research and publications. This is the rank normally assigned to a person who is new to the library profession, but who shows the potential for a promising career based on documented evidence of academic excellence, personal development and basic professional skills.

The probationary period for a General Librarian may be for a maximum of four years which would include the initial appointment of one year and three possible reappointments. A General Librarian is employed for a stated term of one year and is reviewed annually by the University Librarian for either reappointment, promotion or termination. No notice of intention not to reappoint is required (Policies, Section III, B.). However, normally notice of intention not to reappoint will be given to a General Librarian not less than 90 days prior to the termination of his/her annual appointment. If a person serves three years as a General Librarian, at the end of the third year, the University Librarian shall again review the case and then decide and communicate in writing to the General Librarian at least three months before expiration of this term whether he/she will either be given a terminating appointment of one year or be promoted automatically to Assistant Librarian after completing the fourth year as a General Librarian.

If a division chairman or department head strongly recommends an individual for promotion during a regular review, he/she should communicate this to the University Librarian as a part of the evaluation procedure. Upon the recommendation of a division chairman or department head, the University Librarian may initiate the review procedure outlined for promotion from General to Assistant Librarian in advance of the time stipulated above.

2. Assistant Librarian

Assistant Librarian is the rank for persons whose duties require a degree of specialization in a linguistic, technical, subject or administrative area. An individual in this rank normally works under general guidance and takes responsibility for development and implementation of new policies, programs, and services. In his/her area of library specialization, the individual should also have made some contribution to the leadership and effectiveness of the profession. The individual's reputation in the Library, the University, and the profession should be determined and documented.

The individual appointed to this rank normally possesses a graduate degree in library science or in a special field relevant to the position and a minimum of two years professional experience. Appointment or promotion to this rank requires the basic professional skills of a General Librarian, plus evidence of significant professional contributions to the Library and/or to the Institution.

*Note for all ranks: Henceforth, due to the difficulty in equating paraprofessional experience and advanced subject degrees to actual years of professional experience, consideration in assigning ranks will be given to these factors. Guidelines that may be used in making rank assignment are:

a. One year of relevant paraprofessional experience equal to one-half year of professional experience.
b. A second relevant subject masters degree equal to one year of professional experience.
c. A Ph.D. in a relevant subject area to equal two years of professional experience.

An Assistant Librarian who has been promoted from the rank of General Librarian is employed for a stated term of three years which coincides with the probationary period. A librarian initially appointed the rank of Assistant Librarian may have a probationary period of four years, which may be followed by a second probationary period of three more years. At the beginning of the last year of each probationary period, the University Librarian according to procedures specified in Section I.A.2. and 3. shall decide and communicate in writing to the individual whether he/she will be reappointed. Notice of intention not to renew shall be transmitted in writing at least one year prior to the expiration date of the term.

If the decision is to reappoint after a maximum of seven years of probation, the University Librarian shall refer the individual's record to the Associate Librarian Appointment and Promotion Committee for review and consideration for promotion to the rank of Associate Librarian. Recommendation for promotion to the rank of Associate Librarian approved by the University Librarian would become effective the following year. If the Assistant Librarian is not recommended for promotion, the University Librarian, in accordance with procedures specified in I.A.3., will decide whether to reappoint the Assistant Librarian at this rank or to give the Assistant Librarian a one-year terminating appointment. This decision shall be communicated in writing to the individual. If a person wishes to request information and understanding concerning the ranking decision, he/she should address any questions directly to the University Librarian.

In clearly exceptional cases, the individual may be reappointed as Assistant Librarian but is exempt from the assignment of an additional probationary period. If the Assistant Librarian is reappointed at the same rank upon expiration of the probationary periods, a review by the Associate Librarian Appointment and Promotion Committee shall be made not less frequently than every third year to determine if a recommendation to the University Librarian for promotion to the rank of Associate Librarian is in order.

If a division chairman or a department head strongly recommends an individual for promotion during a regular review, he/she should communicate this to the University Librarian as a part of the evaluation procedure. Upon the recommendation of a division chairman or a department head, the University Librarian may initiate the review procedure outlined in Section I.A.3. for the promotion from Assistant to Associate Librarian in advance of the time stipulated above.

3. Associate Librarian

Associate Librarian is the rank appropriate for individuals whose professional performance has been consistently above average; who have made a contribution through research or professional activity; and who have rendered consistent service to the Library, Campus, University, or community. The individual appointed to this rank normally possesses a graduate degree in library science or in a special field relevant to the position and a minimum of five years professional experience. Additional graduate degrees or course work enhancing general knowledge and special competence is desirable. The individual in this rank must have demonstrated continual growth in specific areas of librarianship such as supervision, collection development, technical processing, systems planning, or specialized reference and bibliographical work.

An Associate Librarian is employed for a stated term of five years. Normally, such appointments will be renewed at the expiration of the term upon favorable evaluation of the librarian's department head. A review by the Librarian Appointment and Promotion Committee shall be made not less frequently than every fifth year to determine if a recommendation to the University Librarian for promotion to the rank of Librarian is in order. Nothing stated above shall preclude promotions in advance of the time stipulated in normal procedure. Persons can request deferment of review without prejudice. The request for deferment will stand for five years until the next review period. If a person wishes to request information and understanding concerning the ranking decision, he/she should address any questions directly to the University Librarian.

4. Librarian

Librarian is the rank appropriate for individuals whose professional library performance and service have been consistently outstanding; who have established state, regional, or national leadership in library or scholarly organizations and whose prominence in their field of service or specialization reflects their superior achievements. A Librarian normally has a graduate degree in Library Science or in a special field relevant to the position. A second graduate degree or Ph.D. is desirable. In addition, a Librarian has a minimum of five years (normally more) of professional experience. A Librarian is employed for a stated term of five years. Normally, such appointments will be renewed at the expiration of the term upon favorable evaluation of the librarian's department or division head.

II. LIBRARY APPOINTMENT AND PROMOTION COMMITTEES

In order to provide for a broad based evaluation for appointment and promotion within the Library, there shall be two Appointment and Promotion Committees: (A) Associate Librarian Appointment and Promotion Committee; and, (B) Librarian Appointment and Promotion Committee. These Committees will advise the University Librarian on the recommendations for appointment or promotion put forward by the division chairman.

A. Associate Librarian Appointment and Promotion Committee

The Associate Librarian Appointment and Promotion Committee shall consist of six elected members with the rank of Associate Librarian, three from each of the two divisions within the Library, to be elected by all EPA staff members. The length of service on this Committee shall be for three years in staggered terms. Members may be re-elected. Elections will be held each October by secret ballot to fill the three-year terms. Should a member resign before the end of his term, the vacancy will be filled until the next election by the Associate Librarian (in the same division) with the next highest number of votes in the last election.

The University Librarian shall refer all cases being considered for initial appointment or promotion to the rank of Associate Librarian to this Committee for review and advice. The University Librarian shall consider the advice of the Committee when making recommendations for initial appointment or promotion to the rank of Associate Librarian.

B. Librarian Appointment and Promotion Committee

The Librarian Appointment and Promotion Committee shall consist of six elected members with the rank of Librarian, three from each of the two divisions within the Library, to be elected by all EPA staff members. The length of service on this Committee shall be for three years in staggered terms. Members may be re-elected. Elections will be held each October by secret ballot to fill the three year terms. Should a member resign before the end of his/her term, the vacancy will be filled until the next election by the Librarian (in the same division) with the next highest number of votes in the last election.

In the event that there are less than three available members from either of the two divisions holding the rank of Librarian, the Librarians at large shall elect one or more from their general membership to a temporary one year term in order to complete the Committee's membership of six Librarians. If, at any time, there should not be as many as six members of the staff holding the rank of Librarian, the University Librarian shall make temporary one year appointments to this Committee from other ranks and representing the appropriate division(s) to complete its membership.

The University Librarian shall refer all cases being considered for initial appointment or promotion to the rank of Librarian to this Committee for review and advice. The University Librarian shall consider the advice of this Committee when making an initial appointment or promotion to the rank of Librarian.

III. CRITERIA FOR APPOINTMENT, PROMOTION, AND CONTINUING EMPLOYMENT

An appointment to the professional library staff requires the academic preparation which is evidenced by the possession of the professional degree. The basic quality which must be present for promotion is the ability to perform at a high professional level in areas which contribute to the educational and research mission of the Institution--in public service, collection development, or bibliographic organization and control.

Evaluation of the level of performance may take into account judgments of members of the academic community outside the Library, as well as those of colleagues in the Library.

Additional criteria for promotion in rank may include:

1. Activities related to inquiry and research;
2. Active participation in professional and learned societies;
3. Teaching, not necessarily in a classroom situation; organization of or appearance before institutes, workshops, or similar meetings, and consultancies.

IV. APPEAL PROCEDURE

A librarian wishing to appeal non-reappointment, suspension, discharge, or the rank assigned, has access to the Library Appeal Procedure. Informal discussion between the persons involved should precede the submission of a formal request for a hearing. The appeal must be made within twenty-one days after the date of the letter of notification of decision. The entire appeals procedure should be completed within sixty days.

PROCEDURE (by rank):

A. General Librarian and Assistant Librarian ranks assigned by the University Librarian

1. Before a hearing request is made, the librarian should discuss the rank assignment with the University Librarian in an attempt to reach an agreement through informal means.
2. If further action is desired, a formal request for a hearing should be written to the Chairman of the Librarian Appointment and Promotion Committee; a copy of this request should also go to the University Librarian.
3. The Appeals Committee shall consist of the members of the Librarian Appointment and Promotion Committee.
4. Within twenty-one days after receipt of a hearing request, the Appeals Committee shall decide whether or not to accept written statements in lieu of personal appearances by participants. If a decision is made not to hear a case, the Committee shall notify the librarian initiating the appeal in writing as to the reasons for its action.
5. All hearings shall be open only to participants.
6. In reaching its decision, the Appeals Committee shall not consider or review any documents or other material to which both the librarian being ranked and the University Librarian are not afforded access.
7. The Appeals Committee shall submit its report, with recommendations for settlement of the case, to the University Librarian. If the University Librarian's final decision does not concur with the judgment of the Appeals Committee, he should state the reasons for this in detail to the Appeals Committee and to the librarian being ranked.
8. The decision about rank agreed upon shall be retrospective to the original date of the review.

B. Librarians being ranked or reviewed by Associate Librarian Appointment and Promotion Committee

1. Before a hearing request is made, the librarian should discuss the rank assignment with the Associate Librarian Appointment and Promotion Committee in an attempt to reach an agreement through informal means. Meeting arrangements will be made by the chairman of the Associate Librarian Appointment and Promotion Committee.
2. If further action is desired, a formal request for a hearing should be written by the librarian to the chairman of the Librarian Appointment and Promotion Committee. An additional copy of the letter of request will be sent to the chairman of the Associate Librarian Appointment and Promotion Committee and a copy to the University Librarian.
3. The Appeals Committee shall consist of the members of the Librarian Appointment and Promotion Committee.

4. Within twenty-one days after receipt of a hearing request, the Appeals Committee shall decide whether or not there are sufficient grounds to hear a case and whether or not to accept written statements in lieu of personal appearances by participants. If a decision is made not to hear a case, the Committee shall notify the librarian initiating the appeal in writing as to the reasons for its action.
5. All hearings shall be open only to participants.
6. In reaching its decision, the Appeals Committee shall not consider or review any document or other material to which both the librarian being ranked and the Associate Librarian Appointment and Promotion Committee are not afforded access.
7. The Appeals Committee shall submit its report, with recommendations for settlement of the case, to the University Librarian. If the University Librarian's final decision does not concur with the judgment of the Appeals Committee, he should state the reasonsw for this in detail to the Appeals Committee and to the librarian being ranked.
8. The decision about rank agreed upon shall be retrospective to the original date of the review.

C. Librarians being ranked or reviewed by the Librarian Appointment and Promotion Committee

1. Before a hearing request is made, the librarian should discuss the rank assignment with the Librarian Appointment and Promotion Committee in an attempt to reach an agreement through informal means. Meeting arrangements will be made by the Chairman of the Librarian Appointment and Promotion Committee.
2. If further action is desired, a formal request for a hearing should be written by the librarian to the University Librarian (a copy also going to the Chairman of the Librarian Appointment and Promotion Committee).
3. The University Librarian will hear all appeal cases for the Librarian Appointment and Promotion Committee.
4. Within twenty-one days after receipt of a hearing request, the University Librarian shall decide whether or not there are sufficient grounds to hear a case and whether or not to accept written statements in lieu of personal appearances by participants. If a decision is made not to hear a case, the University Librarian shall notify the librarian initiating the appeal in writing as to the reasons for his action. If the University Librarian decides that there are not sufficient grounds to hear a case, the internal
5. All hearings shall be open only to participants.
6. In reaching a decision, the University Librarian shall not consider or review any documents or other material to which both the librarian being ranked and the Librarian Appointment and Promotion Committee are afforded access.
7. The decision of rank agreed upon shall be retrospective to the original date of the review.

After all internal appeals have been completed, if the librarian feels that he/she has a real grievance, he/she may take his/her case to the EPA Non-Faculty Grievance Committee. (See Policies, Section IV)

EMPLOYMENT POLICIES
FOR
EPA NON FACULTY EMPLOYEES OF
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL

These Policies are adopted by the Board of Trustees of The University of North Carolina at Chapel Hill pursuant to the Employment Policies for University Employees Exempt from the State Personnel Act adopted by the Board of Governors of The University of North Carolina on February 13, 1981.

I. Scope and Applicability of Employment Covered By These Policies

A. Scope of Category

Employment positions within The University of North Carolina at Chapel Hill that are covered by these Policies (hereinafter "covered positions") are those positions that are not subject to the State Personnel Act (G.S. Chapter 126) and are not otherwise categorized. This category does not include: (1) faculty positions subject to institutional tenure regulations; (2) positions within administrative categories of employment subject to G.S. 116-11(4), G.S. 116-11(5), or G.S. 116-14; (3) positions within the "physicians or dentists" category under G.S. 126-5; and (4) University students who are employed incident to their status as students, as in graduate teaching assistantships or work-study positions.

B. Applicability of Policies

These Policies apply to all permanent covered positions.

II. Appointments to Covered Positions

A. Every appointment to a covered position within the University at Chapel Hill shall be made by or on behalf of the Chancellor by means of a letter of appointment that fulfills the requirements of this Section II.

B. Every letter of appointment to a covered position shall include: (1) the title of the position; (2) the initial salary; (3) provision for periodic review of compensation[1]; (4) provisions consistent with Sections II.C. and II.D., below, if contingencies based on availability of funding are applicable; (5) the annual leave entitlement of the employee; (6) notice that the employment conferred is either for a stated definite term or is an "employment at will" subject to continuation or discontinuation at the discretion of the Chancellor; and (7) notice that the employment is subject to these Policies, as originally adopted and as they may be periodically revised from time to time, and a copy of the Policies shall be attached to the letter of appointment.

C. When a covered position is funded in whole or substantial part from sources other than continuing State budget funds or permanent trust accounts, the letter of appointment shall state that continuation of the employee's service in that position is contingent upon the continuing availability of funds from such other sources to support that position, shall specify the source of such funds, and shall state that the effect of such contingency may apply without the additional notice otherwise required by Section III.A., III.B., and III.C.; provided, that the affected employee shall be informed at the earliest practicable date of the occurrence of such a funding contingency.

D. 1. When an employee is to serve simultaneously in both a covered position and a position of University employment not covered by these Policies, with the result that two different prescriptions may appear to obtain with respect to a particular condition of employment or a right or responsibility of the employee, one position shall be designated the base position to determine the conditions of employment and the rights and responsibilities of the employee. If appointment to a covered position occurs subsequent to appointment to a position not covered by these Policies, the letter of appointment to the covered position shall embody the required

[1] Subject to any compensation policies adopted by the Board of Governors or the Board of Trustees.

designation of base employment; conversely, if appointment to a covered position precedes appointment to the other category of University employment, the letter of appointment or contract establishing the second employment shall embody the required designation of base employment. In either case, the designation of base department shall specifically describe the different rights, duties, and compensation for each position and the relationship, if any, between the two positions.

2. Any funding contingency of the type referred to in Section II.C. shall be set forth separately for the covered position and for the other position, since the operation of any such contingencies may be independent.

3. When an appointment to a covered position is to be accompanied by appointment to a faculty position that is intended to be nominal or honorary, or to create a faculty affiliation not entailing significant duties or compensation, the term "adjunct," or similar nomenclature, shall be used to identify the faculty appointment.

III. Discontinuation of Employment in Covered Positions

A. Discontinuation of Appointment, with Notice

Employment within a covered position that is established by the letter of appointment to be an employment at will is subject to discontinuation at any time at the discretion of the Chancellor; provided, that such a discontinuation (as distinguished from discharge for cause, Section III.D.) shall be subject to advance timely notice of discontinuation, as follows: (1) during the first year of service, 30 days prior to discontinuation of employment; and (2) during the second and all subsequent years of continuous service, 90 days notice prior to discontinuation of employment.

B. Expiration of Term Appointment

Employment within a covered position that is established by the letter of appointment to be for a stated definite term expires automatically at the conclusion of the stated term; such an appointment may be renewed or extended at the option of the employer, by written notice satisfying the require-

ments of Section II. If the employer intends not to renew or extend the term contract, (1) with respect to a term of one year or less, no notice of intent not to renew shall be required; (2) with respect to a term of more than one year, notice of intent not to renew shall be transmitted in writing at least 90 days prior to the expiration date of the term. Failure to provide written notice as required in subsection (2) shall result in the automatic extension of employment for a period of 90 days beyond the scheduled expiration date of the term.

C. Termination of Employment Because of Financial Exigency or Program Curtailment or Elimination

Employment within a covered position that is established by the letter of appointment to be for a stated definite term may be terminated prior to expiration of the stated term because of (1) demonstrable, bona fide institutional financial exigency or (2) major curtailment or elimination of a program. "Financial exigency" is defined to mean a significant decline in financial resources of the University that compels a reduction in the institution's budget. The determination of whether a condition of financial exigency exists or whether there shall be a major curtailment or an elimination of a program shall be made by the Chancellor, with advance notice to and approval by the President and the Board of Governors. If the financial exigency or curtailment or elimination of a program is such that the contractual obligation to an employee within a covered position cannot be met, the employment of the individual may be terminated, subject to the following notice requirements: (1) during the first year of service, 30 days notice prior to termination; and (2) during the second and all subsequent years of service, 90 days notice prior to termination.

D. Discharge for Cause

Any employee occupying a covered position may be discharged for stated cause. Discharge for cause is to be distinguished from discontinuation with notice (Section III.A.), automatic expiration of term (Section III.B.) and termination (Section III.C.). Stated causes for discharge shall include, but not necessarily be limited to, incompetence, unsatisfactory performance, neglect of duty, or misconduct that interferes with the capacity of the employee to perform effectively

the requirements of his or her employment. Discharge for cause is to be preceded by written notice of intent to discharge and is subject to invocation by the affected employee of the grievance procedures of Section IV. (except Section IV.D.) of these Policies. When an employee occupying a covered position has been notified of the intention to discharge him for cause, the Chancellor may suspend his employment at any time and continue the suspension until a final decision concerning discharge has been reached by the procedures prescribed herein; the power to suspend shall be invoked only in exceptional circumstances and such suspension shall be with full pay.

IV. Review of Employment Decisions and Grievances

A. The EPA Non Faculty Grievance Committee shall be appointed by the Chancellor.

B. "Grievances" within the province of the Committee's power include not only complaints arising from alleged racial or sexual discrimination or discrimination on the basis of handicap, but other problems of employees in covered positions arising out of the employment relationship, including those concerning the interpretation and application of any provisions of the Employment Policies for EPA Non Faculty Employees of The University of North Carolina at Chapel Hill, provided, however, that grievances concerning discontinuations or terminations of employment with notice, pursuant to Sections III.A., III.B., or III.C. of such Policies may be brought only upon allegations of violations of applicable notice requirements or violations of any provision of Section V. or VI. of such Policies.

C. The Committee may act as a whole or, by designation of the Chairman, in panels of three or more, for the consideration of particular grievances. It may promulgate rules of procedure for its operations.

D. With respect to all grievances except grievances concerning discharge for cause pursuant to Section III.D., above, the Committee is authorized to hear, mediate, and advise with respect to the adjustment of grievances of employees in covered positions.

No grievance may be considered except on the basis of a prior written statement of its nature by the

aggrieved person, and until determination is made that an unsuccessful attempt has been made by the person to resolve it with the administrative official most directly concerned. The Committee is empowered to hear representations by the persons directly involved in grievances, to mediate voluntary adjustment by the parties, and to advise adjustment by the Administration when appropriate. Advice for adjustment in favor of an aggrieved may be given to the Chancellor only after the department head, dean, or other administrative official most directly empowered to adjust it has been given similar advice and has not acted upon it within a reasonable time.

E. With respect to grievances concerning discharge for cause pursuant to Section III.D., above, the procedures specified below shall be followed.

1. If, within ten days[2] after the employee receives the notice of intent to discharge referred to in Section III.D., above, the employee makes no written request for either specification of reasons or a hearing, he or she may be discharged without recourse to any further institutional procedure by a written letter of discharge from the Chancellor or his or her delegate.

2. If, within ten days after he or she receives the notice referred to in Section III.D., above, the employee makes written request, by registered mail, return receipt requested, for a specification of reasons, the Chancellor or his or her delegate shall supply such specification in writing by registered mail, return receipt requested, within ten days after receiving the request. If the employee makes no written request for a hearing within ten days after he or she receives the specification, the employee may be discharged without recourse to any further institutional procedure by a written letter of discharge from the Chancellor or his or her delegate.

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[2] As used in Sections 1, 2, and 3, except when calendar day is specified, the word "day" shall mean any day except Saturday, Sunday, or an institutional holiday. In computing any period of time, the day in which notice is received is not counted but the last day of the period being computed is to be counted.

3. If the employee makes a timely written request for a hearing, a hearing shall be accorded before the EPA Non Faculty Grievance Committee. The hearing shall be on the written specification of reasons for the intended discharge. The hearing committee shall accord the employee twenty days from the time it receives his or her written request for a hearing to prepare his or her defense. The Committee may, upon the employee's written request and for good cause, extend this time by written notice to the employee.

4. The hearing shall be closed to the public unless the employee and the Committee agree that it may be open. The employee shall have the right to counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, and to examine all documents and other adverse demonstrative evidence. A written transcript of all proceedings shall be kept; upon request, a copy thereof shall be furnished to the employee at the University's expense.

5. The Chancellor, or his or her delegate or counsel, may participate in the hearing to present evidence, cross-examine witnesses, and make argument.

6. In reaching decisions on which its written recommendations to the Chancellor shall be based, the Committee shall consider only the evidence presented at the hearing and such written and oral arguments as the Committee, in its discretion, may allow. The Committee shall make its written recommendations to the Chancellor within ten days after its hearing concludes.

F. With respect to any grievance, if the Chancellor concurs in a recommendation of the Committee that is favorable to the employee, his or her decision shall be final. If the Chancellor either declines to accept a Committee recommendation that is favorable to the employee or concurs in a Committee recommendation that is unfavorable to the employee, the employee may appeal the Chancellor's decision to the Board of Trustees. This appeal shall be transmitted through the Chancellor and be addressed to the Chairman of the Board. Notice of appeal shall be filed within ten days after the employee receives the Chancellor's decision. The appeal to the Board of Trustees shall be decided by the Board of Trustees. However, the Board may delegate the duty of conducting a hearing to

a standing or ad hoc committee of at least three members. The Board of Trustees, or its committee, shall consider the appeal on the record, but it may, in its discretion, hear such other evidence as it deems necessary. In all cases, review shall be limited to the question of whether the Chancellor committed clear and material error in reaching his or her decision. The Board of Trustees' decision shall be made within 45 calendar days after the Chancellor has received the employee's request for an appeal to the Trustees. This decision shall be final except that the employee may, within ten days after receiving the Trustees' decision, file a written petition for review with the Board of Governors if he or she alleges that one or more specified provisions of The Code of The University of North Carolina have been violated. All such petitions to the Board of Governors shall be transmitted through the President.

V. Equal Employment Opportunity

It is the policy and intention of The University of North Carolina at Chapel Hill that there be equal employment opportunity and freedom from unlawful discrimination in all employment within the University. There shall be no discrimination in covered positions on the basis of race, color, national origin, sex, religion, handicap, or age.[3] Employment in covered positions shall be conducted in accordance with all provisions of state or federal law or regulation prohibiting any such discrimination, and in accordance with the University's affirmative action policy.

VI. Protected Activity

Employment in covered positions shall not be adversely affected by the exercise of rights guaranteed by the First Amendment to the United States Constitution or by Article I of the North Carolina Constitution; provided, that employees in covered positions shall be subject to any limitations on political activity established by Article 5 of G.S. Chapter 126. The Board of Governors' Policy in this regard, as adopted on January 16, 1976, and as it may be revised from time to time, shall apply to covered positions.

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[3] Bona fide occupational qualifications or other exceptions to those general prohibitions, specifically provided for by State or Federal law, may be applied to covered positions.

3. If the employee makes a timely written request for a hearing, a hearing shall be accorded before the EPA Non Faculty Grievance Committee. The hearing shall be on the written specification of reasons for the intended discharge. The hearing committee shall accord the employee twenty days from the time it receives his or her written request for a hearing to prepare his or her defense. The Committee may, upon the employee's written request and for good cause, extend this time by written notice to the employee.

4. The hearing shall be closed to the public unless the employee and the Committee agree that it may be open. The employee shall have the right to counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, and to examine all documents and other adverse demonstrative evidence. A written transcript of all proceedings shall be kept; upon request, a copy thereof shall be furnished to the employee at the University's expense.

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a standing or ad hoc committee of at least three members. The Board of Trustees, or its committee, shall consider the appeal on the record, but it may, in its discretion, hear such other evidence as it deems necessary. In all cases, review shall be limited to the question of whether the Chancellor committed clear and material error in reaching his or her decision. The Board of Trustees' decision shall be made within 45 calendar days after the Chancellor has received the employee's request for an appeal to the Trustees. This decision shall be final except that the employee may, within ten days after receiving the Trustees' decision, file a written petition for review with the Board of Governors if he or she alleges that one or more specified provisions of The Code of The University of North Carolina have been violated. All such petitions to the Board of Governors shall be transmitted through the President.

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matters, the President shall confer in a timely manner with appropriate faculty and other institutional councils, and with the Chancellor and the Board concerning the issues involved in arriving at decisions in the foregoing areas. (For further information and details consult OAR-580-21-315).

Resignation

Notice of resignation shall be filed in the President's Office as early as possible but in no event later than one month before the resignation is to take place. (OAR 580-21-300). Copies of the letter of resignation shall be sent to the appropriate Vice-President, the appropriate dean and the department head.

Faculty Evaluation Criteria and Procedures

Professional Standards, Obligations and Responsibilities to be Met by Faculty Members (Adopted under OAR 580-21-005 (3) (a)):

I. General criteria to be used in evaluating the faculty member in connection with (a) renewal of appointment, (b) promotion, (c) consideration for indefinite tenure and (d) post-tenure review.

It should be noted that equal weight may not be given to each of the following criteria when evaluating a faculty member. If, for example, a faculty member is being considered for promotion and/or indefinite tenure, the relative weighting of evaluation criteria will differ from that which is applied at the time a faculty member is being considered for renewal of a fixed-term appointment.

A. Officers of Instruction

(1) Quality of teaching:

(a) classroom instruction, including careful presentation of course material and effectiveness of presentation;

(b) academic advising, consultation and informal teaching;

(c) stimulation of student interest in quality work by students;

(d) supervision of student research;

(e) revision of courses to keep them updated;

(f) maintenance of appropriate standards of student performance;

(g) evaluation of student performance;

(h) interest in effective teaching techniques;

(i) defining educational objectives and developing teaching and evaluative materials reflecting current scholarship in the discipline and in educational theory.

(2) Professional growth, scholarly activities, creative and artistic achievement:

(a) publications of significance and quality;

(b) research in progress and substantially planned work;

(c) participating in conferences, conventions, seminars and professional meetings--reading papers, holding office, serving on committees or on editorial boards;

(d) attendance at (2) (c) above;

(e) awareness of current developments in the faculty member's profession;

(f) association with organizations and groups that will result in professional improvement of the participant and bring recognition to the University;

(g) professional consultation;

(h) regular and constructive use of sabbaticals and leaves of absence;

(i) recognized evidence of scholarliness, such as special awards, scholarly citations and the republication of work;

(j) scope and depth of scholarship as revealed in public lectures, book reviews and, in special circumstances, discussions;

(k) works of art, such as painting, sculpture, design, planning, musical composition, poetry, fiction, drama, dance, photography and film;

(l) public performances: musical recitals, concerts, conducting, theater production, dance production, radio or television production;

(m) public recognition: exhibitions, commissions, acceptance of work for permanent collections, awards.

(3) Leadership in academic and administrative service:

(a) departmental administration and curriculum, personnel and policy committees or activities;

(b) college or school administration and committees or activities;

(c) university or State System administration and committees or activities.

(4) Service and activities on behalf of the larger community (local, state, national and international governmental bodies, etc.):

(a) academic contributions to community activities, either as an individual or as a representative of the University;

(b) academic service on behalf of public bodies.

B. Officers of Administration

(1) Quality of administrative, technical or service activities:

(a) effectiveness in performing the responsibilities inherent in the position and in carrying out assigned tasks;

(b) efficiency in using the resources allocated for the accomplishment of the objectives of the position or office;

(c) ability in coordinating and directing the efforts of others and effectively using their competencies;

(d) establishment and maintenance of cooperative relationships with other departments and divisions;

(e) maintenance of constant evaluation of the operations for which the employee is responsible;

(f) readiness to suggest corrections to deficiencies and to introduce innovations to improve operations;

(g) skill, tact and effectiveness of relations with students, faculty and other colleagues;

(h) effectiveness in performing responsibilities generally to promote the welfare and central purposes of the University;

(i) adaptability to new job requirements; capability of being employed in another position commensurate with skills, experience and education, including the capability of being employed as an officer of instruction;

(j) effectiveness in carrying out affirmative action responsibilities of the University.

(2) Professional growth:

(a) participating in conferences, conventions, seminars and professional meetings--reading papers, holding office, serving on committees;

(b) attendance in (2) (a) above;

(c) awareness of current developments in the employee's profession;

(d) association with organizations and groups that will result in professional improvement of the participant and bring recognition to the University;

(e) professional consultation;

(f) constructive use of sabbaticals and leaves of absence;

(g) other evidences of growth, including demonstration of capacity to learn from experiences and adapt to changing circumstances, improvement of performance and demonstration of ability to assume larger responsibilities.

(3) Leadership in service:

(a) departmental, college or school committees or activities;

(b) university or State System committees or activities.

(4) Service and activities on behalf of the larger community:

(a) academic contributions to community activities;

(b) academic service on behalf of public bodies.

II. Procedures for Application of Evaluative Criteria

A. Renewal of Appointment Procedures

In the case of a faculty member who has served one or more years at the University of Oregon on annual appointment, the dean may report to the appropriate Vice-President that the faculty member has served satisfactorily on the basis of criteria outlined in Section I above, and that the school or department recommends a one-year renewal of the appointment. The Vice-President may request additional supporting information if the Vice-President deems it necessary before making a decision on the recommendation. The dean of the school and/or department head may recommend against renewal if the faculty member has not achieved the level of performance expected on the basis of criteria outlined in Section I above; or the dean may recommend against renewal for other reasons, including shortage of funds, program reduction or change or opportunity to improve the quality of faculty. If the decision is made not to renew an appointment, timely notice of termination will be given in accordance with Oregon Administrative Rules 580-21-305.

B. Promotion and Tenure Recommendation Procedures

The department heads in schools or colleges with departments (or the dean of the school or college that does not have a departmental structure), or the department head of administrative departments, shall prepare the personnel file regarding promotion or indefinite tenure recommendation, in accordance with the items listed in Section I above. In some departments, schools and colleges, candidates for promotion or tenure are reviewed by a Dean's Advisory Committee or a Personnel Advisory Committee.

Annual evaluations of faculty members are made as part of a faculty support system. Personnel committees, the Vice-Presidents, and the President and the responsible deans and administrators make reference to these evaluations in connection with considerations of reappointment, salary increases, promotion and tenure. Tenured faculty members, as well as non-tenured faculty members, are also evaluated periodically and systematically.

The responsible administrator studies the file and the written evaluations, consults with the department, school or college personnel advisory committee, if any, and prepares a recommendation.

It is the responsibility of the dean (or department head) to make sure that the file of written evaluations and recommendations from within and without the University presents a fair picture of the candidate under consideration. The dean (or department head) may obtain additional material or letters of reference. The file accumulated by the dean and/or department head, together with the dean's and/or department head's recommendation, is sent to the appropriate Vice-President. It is then forwarded to the Faculty Personnel Committee.

The Faculty Personnel Committee will review the file and decide whether or not additional data and support documents are necessary. If they are, the Faculty Personnel Committee will, on its own initiative, obtain the necessary additions to complete the file to its satisfaction, or will request the appropriate Vice-President to obtain these additions. The Faculty Personnel Committee evaluates the evidence, the sources of the evidence and discusses the merits of the case in terms of the criteria listed in Section I above. It then takes a formal vote on the action requested and, in addition, each member gives the candidate a numerical rating. The Faculty Personnel Committee then prepares its own file, a summary of its findings and reports its vote to the President. It returns the file to the appropriate Vice-President, who sends the committee's recommendation to the President with the Vice-President's own recommendation.

The President, in consultation with the appropriate Vice-President, weighs the recommendation received from the Faculty Personnel Committee and makes the decision which is reported to the candidate through the Vice-President, dean and/or the department head.

If the recommendation of the Faculty Personnel Committee conflicts with the recommendation of the appropriate school or college dean, or administrative department head, the President may invite the committee and the dean and/or department head to meet with the President and Vice-President to discuss the case before making final decision.

In a tenure review the University does not seek to "prove a case" against one of its faculty members. In each instance, the burden of proof for indefinite tenure rests upon the faculty member and the department supporting the candidate. The University asks whether or not the candidate has established a strong positive argument for continuance. If a reasonable doubt remains, the University does not grant tenure.

At the University of Oregon neither renewal of an appointment nor the granting of promotion or indefinite tenure constitute a legally recognizable expectancy or property right prior to final official action determining the new employment status. Moreover, the evaluation of an academic staff member for renewal, promotion or tenure necessarily presupposes an evaluative process of peer and administrative review with respect to criteria set forth above.

III. Nature and Kind of Information Gathered for Promotion and Tenure

The kinds of information that will be gathered by the institution as a basis for the evaluation of the faculty member for promotion and tenure include:

A. Background

(1) Curriculum vitae, including summary of education, professional experience, honors, public and university service and bibliography;

(2) A factual statement summarizing the faculty member's duties and the faculty member's qualifications for the performance of those duties;

(3) Candidate's statement of scholarly, scientific, professional or artistic accomplishments, goals and plans.

B. Statements

(1) Subjective statements of evaluation and recommendation by the department head, school or college advisory committee (if any) and the dean, including observations on (a) teaching; (b) research and scholarship; (c) advising; (d) service and/or administrative, technical or service activities. The statement by the department head should include a report of the evaluations and votes of any personnel committee within the department;

(2) Other letters of evaluation from individuals both on and off the campus. For officers of instruction, a standard evaluation request letter is sent to all references. All references and their relationship to the candidate should be identified;

(3) Student evaluations and other materials relating to quality of teaching and/or administering;

(4) Conditions of appointment attachments (where available);

(5) Additional evaluative statements. The Vice-President shall have the responsibility of collecting, if deemed necessary or advisable, additional evaluative statements from qualified colleagues (at the University of Oregon or elsewhere) of those recommended for promotion or tenure. The Dean of the Graduate School will be invited to submit evaluative statements, where appropriate;

(6) Other supportive documents, including copies of publications or manuscripts.

IV. Access of Faculty Members to Evaluative Materials

Conditions of access to faculty personnel files are set forth in Oregon Administrative Rules 580-22-090, which stipulates that the institution may maintain a closed file for keeping certain specified confidential statements. The University of Oregon faculty records policy, based on Chapter 580, is set forth in Oregon Administrative Rules 571-30-005 ff. This section provides an opportunity for the faculty member to have access to the substance of the items in the closed file and to submit a rebuttal, repudiation or explanation, if desired.

V. Staff Career Support Program

The University is required by Oregon Administrative Rules 580-21-005 (3) (b) (E) to provide a "staff career support program" for the purpose of assisting faculty members in "the improvement of their teaching and other scholarly activities." A comprehensive faculty career support program has been developed by the University, but is not fully funded. The University encourages faculty improvement through its sabbatical leave support, through provision of some travel expenses incurred in participation of faculty in professional conferences and seminars, its Faculty Development Fund, administrative intern program, distinguished teaching awards and through the awarding of funds in support of faculty research. Information about faculty support is available from the Provost's Office.

Post-Tenure Review

In accordance with OAR 580-21-140, University procedures were adopted by the faculty April 6, 1977, to provide for a post-tenure review of faculty members. The procedure for post-tenure review relates closely to the regular review process of faculty. The objectives of post-tenure review are to encourage, to reward and to support the continuous development of members of the faculty and through the process of peer review, to identify tenured

faculty members who merit special recognition or who need special assistance.

The following criteria will be used in the post-tenure review:

(1) Maintenence of high quality of teaching;

(2) Continuing professional growth, scholarly activities, creative and artistic achievement;

(3) Exercise of leadership in academic and administrative service;

(4) Service and activities on behalf of the larger community.

In addition, special criteria established by individual departments and schools shall be used. Additional information is available from the Provost's Office.

Academic Freedom

"All teachers...are entitled to freedom in the classroom in discussing their subjects, but they should be careful not to introduce into their teaching controversial matter which has no relation to the subject...." (See OAR 580-22-005 (1)).

Access to Faculty Records

Board rules governing institutional rules relating to faculty records are described in OAR 580-22-060 through OAR 580-22-125.

Candidates for Public Office

Employees are permitted to seek political office and to serve in the event of election. Before an employee shall become a candidate for any public office, whether for a salaried or nonsalaried position, the employee is expected to consult with the President. (For further details and limitations see OAR 580-22-015).

Proscribed Conduct

(OAR 580-22-045) Procedures to impose applicable sanctions may be instituted against any person engaging in any of the following proscribed conduct:

(1) Obstruction or disruption of teaching, research, administration, disciplinary procedures, or other institutional activities, including the institution's public service functions or other authorized activities on institutionally-owned or controlled property.

(2) Obstruction or disruption interfering with freedom of movement, either pedestrian or vehicular, on institutionally-owned or controlled property.

(3) Possession or use of fire arms, explosives, dangerous chemicals, or other dangerous weapons or instrumentalities on institutionally-owned or controlled property, in contravention of law or institutional rules.

(4) Detention or physical abuse of any person or conduct intended to threaten imminent bodily harm or endanger the health of any person on any institutionally-owned or controlled property.

(5) Malicious damage, misuse, or theft of institutional property, or the property of any other person where such property is located on institutionally-owned or controlled property, or, regardless of location, is in the care, custody, or control of an institution.

(6) Refusal by any person while on institutional property to comply with an order of the President or appropriate authorized official to leave such premises because of conduct proscribed by this rule when such conduct constitutes a danger to the personal safety, property, or educational or other appropriate institutional activities on such premises.

DIVISION 3

GRIEVANCE PROCEDURES

Introduction

571-03-000 (1) This rule applies to all University employees, including academic, teaching, administrative and management service employees, classified service employees and student employees. Section (4) of this rule applies to faculty and students whether or not the grievance arises in an employment relationship.

(2) Grievance procedures for classified employees and graduate teaching fellows who are covered by Collective Bargaining Agreements are set forth in those agreements. Copies of the agreements are available in the Personnel Services Office. Appeals from such procedures are governed by the contract, the rules of the appropriate divisions of the Executive Department, the Employment Relations Board of the State of Oregon and State law.

(3) Grievance procedures for graduate students are issued by the Dean of the Graduate School.

(4) Grievances and complaints against faculty members arising out of their responsibilities as officers of the institution shall be received and investigated by the Student-Faculty Committee on Grievances pursuant to Faculty Legislation of May, 1972. (The charge to the Committee is included as Appendix 1 to this statement.) Such procedure may be utilized by the President as the institutional procedure under Oregon State Board of Higher Education Administrative Rules.

(5) No grievance procedure described herein shall preclude termination of any grievance proceeding prior to completion by any mutually acceptable resolution between the parties set forth in writing for the record.

(6) Apart from any procedures applicable to the particular employee set forth above, all University employees may invoke the following grievance procedures with the limitations described in rules 571-03-005 through 571-03-016. Such grievances shall be initiated within thirty (30) calendar days of the time the employee knows or by reasonable diligence should have known, of such act or omission provided that the running of said thirty (30) calendar days shall be suspended for any period during which the employee is not under appointment (including sabbatical or similar periods of leave) at the University. In any event, a grievance must be filed within one calendar year of the occurrence grieved. Employee grievances submitted to the University administration under the "extraneous considerations" clause of Univers ty policy (as reflected in the April 1971 Faculty legislation), including discrimination based on sexual orientation or preference, life-style, etc., shall be administered solely within rule 571-03-005.

(7) During the period in which a grievance presented in a timely manner is in process, and while the employee is waiting for final disposition by the employer, administrative action shall not be taken that is intended to prejudice the position of the employee. Moreover, an individual filing a complaint in good faith or otherwise participating in any of the actions authorized under these grievance rules shall not be subject to reprimand or retaliatory action of any kind by any member of the University community for such filing or participation. If, however, it is determined that an employee has filed a knowingly false complaint or has acted in bad faith, the employee may be subject to disciplinary action or a countercomplaint.

Stat. Auth.: ORS Ch. 351 & 352
Hist: UOO 12(Temp), f. & ef. 12-5-74 through 4-3-75; UOO 13, f. 7-3-75, ef. 7-25-75; UOO 5-1981, f. & ef. 5-6-81; UOO 6-1982, f. & ef. 6-29-82

General Employment Grievances

571-03-005 (1) *Step 1:*

(a) The purpose of the first step shall be conciliation or resolution of the grievance with the employee's immediate supervisor.

(b) An employee having a grievance related to employment may:

(A) Communicate directly with her/his immediate supervisor; or

(B) Ask the Vice President in whose areas of administrative responsibility the grievant is employed* that it be discussed with the immediate supervisor by an employee's representative who shall be made available by the University to act as Grievance Counselor to an employee desiring such representation. If the grievant desires, the grievant may select another person to act as the grievant's representative and counselor.

(c) The Grievance Counselor shall provide aid and assistance to the grievant. This shall include, but is not limited to, providing information about the various steps in the grievance procedure, representing the grievant before appropriate committees or administrators, enlisting the aid of the Affirmative Action Office for grievances presented under subsequent procedures herein, or other aid. The Counselor shall not act as arbitrator of the grievance while acting on behalf of the grievant.

(d) The person to whom the grievance is directed shall send to the grievant a response in writing no later than 20 working days** from the day the grievance is received. The response shall either resolve the grievance to the satisfaction of the grievant, or provide such relief as appears appropriate following examination of relevant facts, or shall state why the grievance is not deemed to be valid or why the relief requested in the grievance is not appropriate.

(2) *Step 2:*

(a) If the grievance is not satisfactorily resolved at Step 1, the grievant, or the grievant's representative, may submit the grievance in writing (describing as precisely as possible the particulars of the grievance and the respects in which the grievant has been adversely affected) to the appropriate director, manager, superintendent, dean, or (if the grievant's immediate supervisor reports to a vice president) vice president of the employee's division. The appeal must be presented for Step 2 consideration within twenty (20) working days after the Step 1 response is received. If the person to whom the grievant presents a grievance does not have the authority to resolve the grievance, that person shall direct the grievant to the administrator who has such authority.

(b) The person to whom the grievance is directed shall acknowledge receipt of the grievance within five working days from the day the grievance is received.

(c) The person to whom the grievance has been directed shall send to the grievant in writing a timely response no later than 20 working days from the day the grievance is received, including the five days allowed for acknowledgment. If the Committee procedure is used (see subsection (e) of this section), an additional 15 days shall be allowed for Committee review. The response shall either resolve the grievance to the satisfaction of the grievant, or provide such relief as appears appropriate following examination of relevant facts, or shall state why the grievance is not deemed to be valid or why the relief requested in the grievance is not appropriate.

(d) No grievance shall be denied at Step 2 without prior consultation between the person to whom the grievance is directed and the vice president of the Division.

(e) Grievants also have the right as an alternative to Steps 1 and 2 to present grievances to the Student-Faculty Committee on Grievances (referred to in section 571-03-000(4)) established by the Faculty in May, 1972. The Committee shall

be composed of an equal number of students and faculty. The charge to the Committee is attached as Appendix 1 herein and the Committee shall determine in each case whether the particular grievance falls within its jurisdiction. Whether a grievant wishes to utilize the Committee procedure depends both upon the grievant's assessment of the nature of the grievance and the Committee's determination of its jurisdiction.

(f) The person to whom the grievance is directed may also refer the grievance to the Student-Faculty Committee. In such instances the grievant shall be notified of the referral in the acknowledgment of the receipt of the grievance. Further, the administrator who has sent the grievance to the Committee shall discuss the Committee's findings and recommendations with the grievant in an attempt to resolve the grievance equitably. The grievant's representative may be present at the conference between grievant and administrator.

(3) *Step 3*:

(a) If the grievance is not satisfactorily resolved at Step 2, the grievant, or the grievant's representative, may submit the grievance in writing to the University President. Such appeal must be presented for Step 3 consideration within twenty (20) working days after the Step 2 response is received. The President shall decide the grievance, or designate a Grievance Hearing Officer, who shall be a faculty member from the School of Law or College of Business Administration or other persons with training in law or personnel negotiations, to hear the grievance. The President shall solicit the advice of the Advisory Council in appointment of the the Grievance Hearing Officer. The President shall determine in advance of each case whether the Hearing Officer is to render recommendations or to be delegated authority to render a final decision.

(b) The Hearing Officer shall take testimony, resolve issues of conflicting fact, and prepare findings of fact and conclusions, recommendations, or decisions based upon those findings.

(c) Acknowledgment of the receipt of the grievance, and notification as to whether a Hearing Officer will be used and whether the Hearing Officer shall make recommendations or decisions, shall be sent to the grievant within five working days of the receipt of the grievance by the President. The President shall notify the grievant of the President's, or the Hearing Officer's final decision within 20 working days of receipt of the grievance from the grievant. There shall be no further appeal within the institution from the President's decision. Decisions of the President are appealable within the State System of Higher Education only pursuant to the requirements of Oregon State Board of Higher Education Administrative Rules.

*The person selected to act as Grievance Counselor may be an administrator, faculty member from an appropriate committee, or other person.

**Defined in this document as Monday through Friday inclusive.

Stat. Auth.: ORS Ch. 351 & 352
Hist: UOO 12(Temp), f. & ef. 12-5-74 through 4-3-75; UOO 13, f. 7-3-75, ef. 7-25-75; UOO 5-1981, f. & ef. 5-6-81; UOO 7-1982, f. & ef. 6-29-82

Grievances Concerning Alleged Illegal Employment Discrimination

571-03-010 (1) In addition to other grievance procedures, an employee (classified, academic, or student) having a grievance alleging discrimination in employment on the basis of race, color, religion, sex, age, national origin, or physical handicap, may, before submitting the grievance to the President under section 571-03-005(3), request the Office of Affirmative Action to refer the grievance to the Committee on Equal Employment Opportunity, or the grievant, or his/her representative, may refer the grievance directly to the Committee. The grievance must be presented in writing to the chairer of the Committee with specific information on the particulars of the grievance and any alleged facts constituting evidence of illegal discrimination.

(2) The Committee on Equal Employment Opportunity, or a duly constituted subcommittee of the Committee shall determine initially whether the grievance falls within the jurisdiction of the Committee. If the Committee determines it has jurisdiction, it shall investigate the grievance and seek responses from the affected unit or department after adequate notice to the concerned persons. The Committee, or subcommittee, shall hear such testimony and receive such written evidence as is necessary to secure full and fair disclosure of relevant facts. The Committee, or subcommittee shall render its recommendations in writing to the University President and to the grievant within 25 working days after receipt of the grievance in writing.

(3) The President shall notify the grievant of the final Presidential decision within 20 working days of the President's receipt of the recommendations of the Committee, or the subcommittee. If the decision is contrary to the recommendations of the Committee, the notification shall specify in writing the reasons for the decisions not to accept the recommendations.

Stat. Auth.: ORS Ch.
Hist: UOO 12(Temp), f. & ef. 12-5-74 through 4-3-75; UOO 13, f. 7-3-75, ef. 7-25-75

Appeal of Failure to Grant Promotion or Tenure When Such Decision Results in Terminal Notice

571-03-015 (1) Appeal of the decision to deny promotion or tenure which results in terminal notice shall be directed by the appellant in writing to the Provost within ninety (90) days of actual receipt of terminal notice. If the candidate is outside of the United States at the date of receipt, the period for filing an appeal shall be extended to sixty (60) days after the candidate first thereafter returns to the State of Oregon but in no such case shall the period extend beyond October 20 of the year in which the notice is given. The Provost shall refer the appeal to the faculty Personnel Committee unless the candidate and the Provost agree that it would more appropriately be referred to a special ad hoc review committee of five tenured faculty members or to the appropriate College or School promotion and tenure committee for its recommendation. In making decisions under this rule, the Provost shall exercise authority hereby delegated from the President.

(2) Appeals made under section (1) of this rule and referred to the Provost by the Faculty Personnel Committee shall be considered in the following manner:

(a) The review will take the form of a reconsideration by a panel of the Faculty Personnel Committee. Reconsideration shall be conducted for the Faculty Personnel Committee by a panel of the Committee or a panel appointed by the Provost which does not include members who served during the year in which the case was previously reviewed. The process is advisory to the Provost and the results of the reconsideration will be presented as recommendations to the Provost;

(b) The purpose of the reconsideration shall be to make an evaluation of the fairness and reliability of the decision-making process. This reconsideration involves:

(A) Determination of whether errors of fact existed;

(B) Determination of whether relevant evidence was unavailable, disregarded or overlooked; and

(C) Determination of whether the decision was in any way arbitrary or capricious or whether it had a significant foundation in fact on which to justify the original evaluative judgments and recommendations.

(c) Should the panel of the Faculty Personnel Commitee conclude that prejudicially erroneous facts were utilized or that

relevant evidence capable of reversing the appraisal was rejected, overlooked, or previously unavailable, or that the original judgment was arbitrary and capricious, or that the decision was otherwise unwarranted, it shall so advise the Provost, Dean and Department Head to reconsider the original recommendations with respect to the case;

(d) The appellant can review that part of the appellant's file which is normally open and will receive a substantive abstract of the normally closed part of the file. A proper abstract of the file is interpretd to mean document-by-document, not a general summary, with the condition that editing and abstracting will maintain the confidentiality of sources who submitted their evaluations with assurance of confidentiality in accordance with any earlier waiver of the appellant's right to have the University use no confidential sources. The abstract shall be prepared by an officer from the Office of the Vice-President for Academic Affairs and Provost and a member of the Faculty Personnel Committee;

(e) The reconsideration procedure set forth in this section is defined as an informal procedure: it is not defined as a contested case under ORS 183.310(2) or OAR 580-21-400. Prior to the reconsideration, the appellant shall be given appropriate notice that if the appellant so chooses, the appellant has the opportunity to introduce information which is new or hitherto unavailable or overlooked by the Faculty Personnel Committee, to review the open portion of the file and the abstracts and summaries and to make a personal presentation on the grounds set forth in subsection (2)(b) of this rule. There is no requirement or expectation of formal public hearings with counsel.

(3) When appeals made under section (1) of this rule are referred by the Provost to the appropriate College or School promotion and tenure committee or to a specially consituted ad hoc review committee of five tenured faculty, the same procedures as are outlined in subsections (2)(b) through (e) of this rule for use by the Faculty Personnel Committee shall be followed. Either type of committee referred to in this section shall exclude faculty members who had served on the Faculty Personnel Committee in the year in which the case was reviewed by that Committee.

(4) An appeal of the Provost's decision may be made to the President. An appeal to the President shall be directed by the appellant in writing to the President within thirty (30) calendar days of receipt of the Provost's decision on the original appeal. The President shall notify the appellant of the President's final decision within thirty (30) calendar days of the receipt of the appellant's written appeal. There shall be no further appeal within the institution of the President's decision.

Stat. Auth.: ORS Ch.
Hist: UOO 12(Temp), f. & ef. 12-5-74 through 4-3-75; UOO 13, f. 7-3-75, ef. 7-25-75; UOO 12-1981(Temp), f. & ef. 8-5-81; UOO 8-1982, f. & ef. 6-29-82

[ED. NOTE: The text of Temporary Rules is not printed in the Oregon Administrative Rules Compilation. Copies may be obtained from the adopting agency or the Secretary of State.]

Appeal of Failure to Grant Promotion or Tenure When Such Decision Does Not Result in Terminal Notice

571-03-016 Appeals concerning denial of promotion or tenure where such a decision does not result in terminal notice. Decisions respecting academic or professional performances are based on the evaluative judgments of peers. Disagreements with these judgments are entrusted to the academic peer group for resolution. Barring evidence of illegal discrimination (to be processed according to procedures outlined in OAR 571-03-010), the grievance resolution processes of the University will be limited to challenges to procedural adequacy or assertions of arbitrary and capricious conduct in the exercise of academic, peer, or administrative judgment in decisions concerning tenure, promotion, and renewal of appointments. Grievances on the substantive merit of the decision shall be limited to further consideration by the Faculty Personnel Commitee the following Fall Term. The file may be augmented by all parties involved in the reconsideration. Such further consideration will lead to a recommendation to the Provost for final action. Requests for such further consideration shall be made in writing addressed to the Provost.

Stat. Auth.: ORS Ch. 351 & 352
Hist: UOO 9-1982, f. & ef. 6-29-82

Non-Renewal of an Appointment

571-02-017 The non-renewal of an appointment in other than promotion and tenure cases as set forth in rules 571-03-015 and 571-03-016 shall not be subject to the hearing processes of this grievance procedure.

Stat. Auth.: ORS Ch. 351 & 352
Hist: UOO 9-1982, f. & ef. 6-29-82

Employment Grievance Procedure for Management Service Employees

571-03-020 (1) A Management Service employee who believes that an employment-related action is arbitrary or contrary to law, rule or policy or taken for political reasons may grieve such action. A grievance shall be initiated under this rule within thirty (30) calendar days of the time the grievant knows or by reasonable diligence should have known of such action.

(2) Management Service employees shall not be subject to reprisal for use of or participation in the grievance procedure. They shall be allowed reasonable time off mutually agreed to after consultation with their supervisors without loss of pay if their presence is required at any meeting concerning the grievance held during normal working hours.

(3) Management Service employees may choose to represent themselves, or to be represented by a University-appointed grievance counselor or by legal counsel during the University grievance review process. Management Service employees shall not be represented by labor organizations. Should the Management Service employee choose to be represented by legal counsel, such service shall be retained at the employee's expense. If a University-appointed grievance counselor is desired, the employee may seek such representation by applying in writing to the appropriate Vice-President for appointment of a grievance counselor or by applying in writing to the Management Service Advisory Council for its recommendation to the appropriate Vice-President of a grievance counselor.

(4) Before initiating any procedures under this rule, the Management Service employee should first have discussed the grievance in person with the employee's immediate supervisor. If this discussion does not result in a resolution of the grievance, the Management Service employee may then invoke the procedures of this rule.

(5) If at any step in this grievance process the grievant does not appeal in timely fashion to the next step, the grievance shall be regarded as resolved effective the previous step pursuant to corrective actions, if any, specified at that step. Failure of the grievant to perfect a timely further appeal shall generally constitute a failure to exhaust administrative recourse.

(6) The time limits specified in this rule must be observed unless either party requests a specific extension of time, which must be mutually agreed to and stipulated in writing and shall become a part of the grievance record. A copy of any extension(s) shall be sent to the Director of Classified Personnel within one (1) calendar day of its signing.

(7) The University may, at any step outlined in this rule, upon determining that the Management Service employee is

satisfied with the resolution proposed, request the Management Service employee to sign a simple statement attesting to the satisfactory resolution reached.

(8) If the grievance is not resolved after the discussion with the supervisor, the Management Service employee may file a written grievance with the Director of Classified Personnel within seven (7) calendar days of the discussion with the supervisor:

(a) The written grievance shall be specific in detail as to dates, places, persons, witnesses, etc., and identify or attach relevant documents;

(b) The written grievance shall contain a statement of the result, resolution or remedy expected to resolve the grievance;

(c) The written grievance shall identify the name, address, and telephone number of the grievance counselor or legal counsel if any.

(9) The Director of Classified Personnel shall initiate within 24 hours of receipt of the written grievance the following procedure:

(a) The Director shall contact the Management Service employee's immediate supervisor to review the grievance to effect a resolution of the grievance. The supervisor shall render a written decision within seven (7) calendar days of receipt of the grievant's written complaint from the Director of Classified Personnel;

(b) In the event the grievance is not resolved at the supervisory level, the grievant shall so inform the Director of Classified Personnel in writing within five (5) calendar days of receipt of the supervisor's response;

(c) The Director of Classified Personnel shall forward the grievance via campus mail to the President together with the supervisor's written response rended at Step 1 within five (5) calendar days of receipt of grievance.

(10)(a) The President or the President's designee shall conduct an inquiry into the grievance and such inquiry shall be completed within 21 calendar days after receipt of the grievance.

(b) The President or the President's designee's findings shall be rendered in writing and presented to the grievant and/or the grievant's representative during a meeting scheduled no later than the 21st calendar day after receipt of grievance.

(c) In the event of unexpected scheduling circumstances, the grievant and/or the President or the President's designee may, upon mutual consent in writing, adjust the meeting day by no more than two (2) calendar days.

(d) The meeting is designed to promote a resolution during a face-to-face conference. If such mutually agreeable resolution is reached or cannot be reached, the President or the President's designee shall make the findings final one (1) calendar day following the conference and send them via campus mail to the grievant and/or the grievant's counselor and the Director of Classified Personnel.

(11) If the grievahce is not resolved at the President's level, the Management Service employee may appeal to the Director of the Executive Department. Details of this and further steps in the appeal process outside the University may be obtained from the Director of Classified Personnel.

(12) Management Service employees' grievances related to discrimination proscribed by statute or rule shall be conducted according to the procedures outlined in OAR 571-03-010:

(a) OAR 571-03-010 may be used in proscribed discrimination grievances if the first two steps of the University's grievance process described in OAR 571-03-005 fail to resolve the problem.

(b) Management Service employees may appeal in writing to the Civil Rights Division of the Bureau of Labor, an illegal discrimination grievance not resolved at the University level, alleging that the aggrieved action constitues a violation of federal and/or Oregon laws prohibiting discrimination.

Stat. Auth.: ORS Ch. 351 & 352
Hist: UOO 14-1981(Temp), f. & ef. 10-28-81; UOO 1-1982, f. & ef. 1-18-82

[ED. NOTE: The text of Temporary Rules is not printed in the Oregon Administrative Rules Compilation. Copies may be obtained from the adopting agency or the Secretary of State.]

Princeton

III. GOVERNANCE OF THE UNIVERSITY LIBRARY

The activities of the Library are supervised by the University Librarian under the general direction of the University administration and with the advice of Faculty, Staff, and Student Committees. The Trustees, through the Trustees' Committee on the Library, have ultimate responsibility for the quality and effectiveness of the Library.

The following committees and officers have major roles in the governance of the Library:

A. UNIVERSITY GOVERNANCE

1. Trustees' Committee on the Library

The Trustees' Committee on the Library, according to the Trustees' *By-Laws*, is charged with "supervision of the administration of the Library and the development of the University's collection of books, manuscripts, and related objects." The President is a voting member of the Committee, and the Provost, the Treasurer, and the University Librarian are non-voting members.

2. Faculty Committee on the Library

Under the *Rules and Procedures of the Faculty*, the Faculty Committee on the Library "advises the President on the operation and development of the Library, particularly in relation to educational policy." The Committee consists of six elected Faculty members, including at least one from each Division of the University and two from among the nontenured Faculty, and two members of the Professional Research Staff appointed by the President. The University Librarian is Chairman *ex officio*, the Associate University Librarian, Secretary *ex officio*, and the Provost and the Dean of the Faculty, members *ex officio*.

3. Student Committee on the Library

The University Librarian also is advised by the Student Committee on the Library made up of graduate and undergraduate students.

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4. University Administration

The University Librarian reports to the President through the Provost, who has general responsibility for the University Library. For personnel matters relating to the Professional Library Staff the Librarian reports to the President through the Dean of the Faculty.

B. LIBRARY ADMINISTRATION

1. University Librarian

Under the *By-Laws* of the Trustees, the University Librarian is responsible under the President, for "the administration of the Library, and for the development, care, and safekeeping of the University's collections of books, manuscripts, and related objects." The University Librarian serves, without vote, on the Trustees' Committee on the Library and Committee on the Curriculum.

2. Administrative Staff

The Associate University Librarian is responsible for sharing general administrative duties with the University Librarian and for the execution of any specific assignments which might be made.

An Assistant University Librarian normally heads each department of the University Library. In addition to carrying out the administrative responsibilities inherent to this position, each Assistant University Librarian is charged with the responsibility of assisting the University Librarian in the general administration of the University Library.

The Personnel Librarian is responsible, under the University Librarian, for carrying out personnel policies and procedures relating to the effectiveness and well-being of all Library employees.

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C. LIBRARY ADVISORY GROUPS

1. Library Council

The Library Council is a body composed of the University Librarian, the Associate University Librarian, the Assistant University Librarians, the Personnel Librarian, and the University Archivist. The Council, which normally meets once a week, serves as the University Librarian's principal advisory body on matters such as the coordination of internal policy and procedures and the resolution of interdepartmental operating problems. It also advises on issues of general concern to the welfare of the University Library.

2. Professional Library Staff

The Professional Library Staff meeting together or through its various committees advises the University Librarian on specific policies and issues and participates in the preparation of recommendations on personnel actions for Staff members.

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V. THE PROFESSIONAL LIBRARY STAFF

A. Selection of New Staff Members

In the interest of locating the best qualified staff members and in accordance with the University's commitment to equal opportunity and affirmative action (Appendix A) all new appointments to the Professional Library Staff are made only after a thorough search has been made to locate the most qualified applicant for the position. Searches are documented by the Short EEO Form [revised] submitted to the Dean of the Faculty as part of the initial appointment recommendation.

An advanced degree from an accredited graduate school of Library Science is required for appointment to the Professional Library Staff. In exceptional cases, normally involving curatorships or bibliographer positions, equivalent prior experience or an advanced degree other than Library Science may be considered the equivalent of the M.L.S. Those appointed to the Staff who lack the M.L.S. are encouraged to acquire the degree.

Staff members are notified of each open position and a search committee is normally appointed to establish selection criteria, screen applications, and arrange for interviews. Recommendations for appointment are made by the University Librarian to the Dean of the Faculty.

B. Initial Appointments

All appointments to the Professional Library Staff, except that of the University Librarian, are made by the Dean of the Faculty. Candidates are notified of the appointment and the conditions under which it is made by the Dean. Unless otherwise stated in the notification, appointments are made for the period July 1 to June 30. Appointments made during the year terminate on the June 30 following date of appointment.

C. Staff Review Procedures

1. Annual Performance Review

In the spring of each year, the University Librarian submits to the Dean of the Faculty his or her recommendations on salary advancement, promotion, and reappointment for each member of the Professional Library Staff. Normally, changes in status and salary take place only as a result of this review and are effective on the following July 1.

The annual performance review process is carried out by the University Librarian with the coordination and advice of the Personnel Librarian and the Staff Review and Development Committee. The

evaluation process that is part of this review is intended both to advise the University Librarian on recommendations to the Dean of the Faculty and to provide the opportunity for each Librarian to review his or her progress and performance during the year with his or her supervisor. The process generally involves the following steps:

a. A departmental evaluation process culminating in written recommendations approved by the Assistant University Librarian for all Staff members in his or her department.
b. A review of departmental recommendations with the appropriate Assistant University Librarian by the Staff Review and Development Committee.
c. Written recommendation by the Staff Review and Development Committee on appropriate action for each member of the Professional Library Staff to the University Librarian who makes his or her recommendations to the Dean of the Faculty for transmission to the President.

Recommendations for Assistant University Librarians and the Associate University Librarian are made by the University Librarian.

Notification of reappointment, salary, and rank is made in writing by the Secretary of the University to each Librarian.

2. Review of New Appointments

Monitoring the progress of Librarians newly appointed to the Professional Library Staff is the responsibility of the appropriate supervisor. At six months, one year, and two years from date of initial appointment, the Librarian and the supervisor together review the Librarian's performance in order to assess the progress the Librarian is making. The results of this review are forwarded, in writing, to the appropriate Assistant University Librarian. If this special performance review would normally come within two months of the annual performance review, the earlier review may, by mutual agreement between the Librarian and the supervisor, be used for both purposes.

D. Continuing Appointment

Librarians on continuing appointment serve with the understanding of continued employment, with salary adjustments and promotions when appropriate, as long as the services of the Library continue to be of a type and scope requiring their professional skills. Reduction or elimination of specific services of the Library may occur for reasons of financial stringency or as a result of a rearrangement of Library services to meet the needs of Library users or the objectives of the Library. Librarians on continuing appointment may be terminated for cause as described in Section G of this chapter (Chapter V).

E. Part-Time Appointments

The rules, procedures, and other arrangements described in this publication apply in various ways to part-time employees. Those contemplating part-time employment should consult with the Personnel Librarian and the Dean of the Faculty for specific questions of concern. In general:

1. All part-time Staff members are covered by the rules and procedures governing salary advancement and promotion except that, at the discretion of the University Librarian, a Staff member working less than 100% may have the decision point for promotion from Librarian I to Librarian II postponed for up to two years if conditions are such that a continuing appointment decision cannot be made within the normal time. Staff members employed less than 50% of time are not eligible for continuing appointment.

2. Normally those appointed for 50% time or greater time are eligible for the same benefits as full-time Staff members. Those working less than 50% time may participate in some of these programs.

3. Normally all part-time Staff members have the benefit of the research leave and other service arrangements described in Chapter VI and in the booklet "Princeton University Benefits and Other Programs, Services, and Activities of Interest to Members of the Faculty and Professional Research, Technical, and Library Staffs."

F. Notice of Termination or Nonreappointment

Librarians on annual appointment must receive at least three months' notice of the University's intention not to reappoint them. Librarians on continuing appointment must, except if terminated for cause, receive at least six months' notice of termination. It is expected that a Librarian will give due consideration to the length of time that may be required for the University to fill his or her position when giving notice of resignation.

G. Disciplinary Action and Termination for Cause

A member of the Staff may be suspended, dismissed, involuntarily retired early, or subject to discriminatory reduction of salary for cause on the basis of: (a) continuing unsatisfactory performance after due notice; or (b) conduct which is shown to violate the University rules and procedures applicable to a member of the Professional Library Staff or substantially to impair the individual's performance of his or her responsibilities as a member of the Staff. The range of penalties described above is provided so that the nature of the penalty may be commensurate with the nature of the offense.

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Before any of the above actions are taken, a Staff member is entitled to receive from his or her supervisor a statement in writing of the reasons for the proposed action. If the Staff member wishes, he or she may receive a hearing under the provisions of the "Grievance Procedures for the Professional Library Staff" (Appendix B).

H. The Ranks of the Professional Library Staff

The ranks of the Professional Library Staff and the conditions of appointment and reappointment, promotion, and termination are described below. The description of each rank suggests the degree of professional competency, level of responsibility, and potential value to the Library Staff, the University community, and the profession that is expected of Librarians appointed at that rank.

1. Librarian I

Description of Rank

Librarian I is the initial and probationary rank which provides an opportunity for Librarians with little or no professional experience to develop proficiency in the bibliographic skills required for reference or technical services, to develop other professional skills, and to demonstrate potential for advanced work in a field of librarianship and/or for increased responsibility in the administration of the Library. Librarians I normally work under specific supervision of a more experienced Librarian, with whom they share responsibility for improving services and resolving operational problems. They explore opportunities for development of areas of specialization which will enhance their value as members of the Professional Library Staff and for participation in professional and/or University activities.

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Appointment and Reappointment

All initial appointments and subsequent reappointments at this level terminate on June 30. If evaluations indicate that the Librarian is making satisfactory progress in mastering basic professional skills he or she can normally expect to be reappointed for either two or three succeeding years, the number of reappointments depending on the initial appointment date. Those appointed between July 1 and December 31 will normally receive two successive annual reappointments and those appointed after December 31 will receive three such annual reappointments.

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Promotion

Librarians I are normally considered for promotion during their final year of appointment at that rank. This consideration, which takes

place as part of the annual performance review process, is based on the Librarian's competence in carrying out his or her responsibilities and demonstrated potential for growth.

In exceptional cases, Librarians I may be considered for promotion at any time prior to their final year of reappointment. As with most other promotions, such promotions will generally be based on advancement to a position normally carrying a higher rank or on the assumption of substantial new responsibilities in the Librarian's present position.

Nonreappointment

If promotion to Librarian II is not recommended during the final year of reappointment, the Librarian will not be reappointed. If, for unusual reasons such as illness or inconclusive performance reviews, the University Librarian cannot make a recommendation on promotion at this time, a single additional one-year appointment may be made. The Librarian will be considered for promotion during the next annual evaluation of the Staff. If promotion is not made at that time, the Librarian will not be reappointed for the succeeding year.

2. *Librarian II*

Description of Rank

Librarian II is the first of the career ranks of the Professional Library Staff. Librarians at this rank have achieved a high level of competence in their field of responsibility, normally work under general direction, and assume day to day responsibility for specific Library functions and services. They are also responsible for the improvement of the operations and services with which they are involved. Librarians II choose and/or develop areas of specialization which will enhance their value as members of the Library Staff and participate regularly in professional and/or University activities.

Appointment and Reappointment

A Librarian promoted to Librarian II whose performance continues to meet the requirements for this rank normally receives a second one-year appointment. If promotion takes place between December 31 and June 30, two additional one-year appointments will be made. During the final year of such reappointments, the Librarian is considered for continuing appointment.

A Librarian appointed to the rank of Librarian II from outside the Library Staff is considered for continuing appointment during his or her third appointment year if hired between July 1 and December 31, and fourth appointment year if hired after December 31. Appointments

to Librarian II are normally reserved for those who have had the equivalent of at least three years of relevant professional experience and annual reappointments are contingent upon continued satisfaction of performance standards for this rank.

Promotion

Promotion from Librarian II takes place if the Librarian is advanced to a position normally carrying a higher rank. Promotion may also take place if the Librarian has assumed substantially increased responsibilities in his or her present position or has made a significant contribution to the professional or the scholarly world.

Termination or Nonreappointment

Librarians II on continuing appointment may be terminated only for reasons described in Section D in this chapter (Chapter V).

If continuing appointment is not recommended during the prescribed period, the Librarian is not reappointed. If, for unusual reasons such as illness or inconclusive performance reviews the University Librarian cannot make a recommendation on continuing appointment during this time, a single additional one-year appointment may be made. The Librarian will be considered for continuing appointment during the next annual evaluation of the Staff and if not granted continuing appointment will not be reappointed for the succeeding year.

3. *Librarian III*

Description of Rank

Librarians III perform at an advanced level, applying knowledge and skills of a highly specialized nature that they have acquired through scholarly achievements and previous professional experience and training. Normally they are fully responsible for major Library functions or for administering large Library collections or both. Often they supervise sizeable staffs. Their responsibilities are such that a high level of creativity and independence in planning, organizing, and administering is essential to the successful accomplishment of their responsibilities. Librarians III actively contribute to the field of librarianship, to the University community, or the scholarly world.

Appointment and Reappointment

Librarians III appointed from outside the Library and those promoted to this rank without continuing appointment may, providing their performance continues to meet the requirements for this rank, be offered a second one-year reappointment if promoted or appointed between July 1 and December 31, and two consecutive annual

reappointments if promoted or appointed after December 31. At the end of the appropriate period, he or she is considered for continuing appointment. Appointment to Librarian III from outside is normally reserved for those who have had the equivalent of at least five years of relevant professional experience.

Promotion

Promotion is reserved for those exceptional members of the Librarian III rank who meet the criteria for the higher ranks described below.

Termination or Nonreappointment

Librarians III on continuing appointment may be terminated only for reasons described in Section D in this chapter (Chapter V). Those not on continuing appointment will not be reappointed for the succeeding year if not recommended for continuing appointment within the prescribed period.

4. *Librarian IV*

Description of Rank

Librarians IV have a superior knowledge of, and have demonstrated mastery of, a special area of librarianship. They are generally recognized for substantial contributions which benefit the Library, the University, the profession, and the scholarly world. Such contributions may include the management of a large sector of the Library or a major library service. Librarians IV have general responsibility for developing and implementing policies, programs and services that advance overall Library objectives and for advising the Library administration on problems and policies of major significance.

Appointment and Reappointment

Promotion to the rank of Librarian IV carries with it continuing appointment. Those appointed to this rank from outside the Library may, providing their performance continues to meet the requirements for this rank, be offered a second one-year appointment, if appointed between July 1 and December 31, and two consecutive one-year appointments if appointed after December 31. At the end of the appropriate period he or she is considered for continuing appointment. Appointment to Librarian IV from outside the Library is normally reserved for those who have had the equivalent of at least seven years of relevant professional experience.

Termination or Nonreappointment

Librarians IV on continuing appointment may be terminated only for reasons described in Section D in this chapter (Chapter V). Those not on continuing appointment will not be reappointed for the succeeding year if not recommended for continuing appointment within the prescribed period.

5. *Associate University Librarian*
Assistant University Librarian

Description of Position: Associate University Librarian

Under the University Librarian, the Associate University Librarian shares in the general administration of the Library through service on the Library Council and the performance of other assignments from the University Librarian. In the absence of the University Librarian, the Associate University Librarian acts as the University Librarian. Responsibility for the administration of a specific area of the Library may also be assigned to the Associate University Librarian. Normally the Librarian appointed to this position will have had at least ten years of relevant professional experience.

Description of Position: Assistant University Librarian

Under the University Librarian, Assistant University Librarians normally have administrative responsibility for a specific area of the Library, usually an entire department. Assistant University Librarians serve on the Library Council and also perform special assignments from the University Librarian in assisting the University Librarian and Associate University Librarian in the general administration of the Library. Librarians appointed to these positions will ordinarily have had at least ten years of relevant professional experience.

Appointment, Reappointment, and Review

Appointment to either of these positions is normally made for a five-year term, which may be renewed. The rules and procedures for continuing appointment do not apply to either of these positions, but rather apply to the Librarian's concurrent appointment in a regular staff rank. A Librarian in either of these positions, whether appointed from outside or from within the University Library, would normally have the regular staff rank of Librarian IV. Initial appointment to either of these positions from outside the Library may be for a shorter term than five years.

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Associate and Assistant University Librarians will be reviewed annually for salary increases to be applied to their base salaries.

Administrative Salary Increments

Appointment to the position of Associate University Librarian or Assistant University Librarian carries an administrative salary increment in addition to the salary of the Librarian in his or her regular rank. The levels of the increments will be reviewed from time to time and will be adjusted as appropriate.

Assistant University Librarians as of January 1, 1979

Librarians who were already Assistant University Librarians on January 1, 1979 will continue in that position according to the provisions of their original appointments, which are as stated in the *Rules and Procedures of the Professional Library Staff of Princeton University* dated Fall 1976.

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VI. RESEARCH LEAVE AND OTHER SERVICE ARRANGEMENTS FOR THE PROFESSIONAL LIBRARY STAFF

A. RESEARCH LEAVES

Full-time members of the Professional Library Staff holding the rank of Librarian II or higher are eligible for Research Leaves. These leaves are normally for up to six months at full pay. If the requirements of the research dictate, such leaves may be extended to up to twelve months with total University salary payments during the period of leave equalling one-half annual salary.

All requests for Research Leaves are submitted to the Staff Review and Development Committee. These requests should describe the applicant's proposed research program and its purposes and be accompanied by a statement from the appropriate Assistant University Librarian indicating support of the application in terms of its scholarly merit, of its benefit to the department, and of its impact on the department during the individual's absence. Committee recommendations are transmitted to the University Librarian who recommends to the Dean of the Faculty. Approval of Research Leaves will be dependent upon the quality of the proposed program, the potential disruption caused by the absence of the individual, and financial considerations relating to the Library.

B. OTHER PAID PERIODS OF ABSENCE

Individuals called for Jury Duty or subpoenaed as witnesses will continue to receive normal pay. It is expected that they will be available for work when their presence in court is not required. During periods of annual military reserve training, the University will make up the difference between reserve pay and University salary for up to 15 calendar days. Other paid absences for short periods due to death or illness in the immediate family may be authorized by the University Librarian. No absences described in this paragraph will reduce the amount of vacation time to which the individual is entitled.

C. PROFESSIONAL ACTIVITIES

Members of the Professional Library Staff are encouraged to be active in professional organizations and to engage in independent research, writing, and other scholarly activities as well as other activities which advance the goals of the library profession including classroom teaching and outside consulting.

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At the same time, the primary obligation of every member of the Professional Library Staff is to fulfill his or her responsibilities in maintaining the services of the Library. This obligation is not merely to work during particular hours on particular days, but is professional in character. No outside activity which conflicts with this primary obligation may be undertaken.

Ordinarily, outside professional activities including consulting should be limited to activities which are in the interest of the library profession or which will broaden the abilities of the individual in his or her professional work.

The Librarian is responsible for consulting with his or her supervisor when considering outside professional activities and for obtaining the approval of the supervisor prior to undertaking such activities.

A member of the Professional Library Staff may, with the consent of his or her supervisor and the University Librarian, devote up to four days per month to outside professional activities without prior approval of the Dean of the Faculty providing not more than two days are for consultation. Occassional attendance at professional meetings which exceed four days in any month will also not require prior approval of the Dean of the Faculty. Other commitments in excess of these limitations and questions arising out of special circumstances or considerations should be taken up with the Dean of the Faculty through the Personnel Librarian or University Librarian. Only the Dean of the Faculty is authorized to approve exceptions to, or exemptions from, rules concerning outside professional activities.

In outside professional activities, whether compensated or not, a Librarian should not:

1. violate the University's patent policy
2. permit an outside agent to have a preferred position with respect to information emanating from University activities.

In addition, a Librarian should not commit University material, facilities, students or personnel for the gain or benefit of another enterprise. Limited use, however, may be made of materials, facilities, and secretarial assistance for service to professional societies and in connection with professional assistance to public service organizations.

In outside professional activities a Librarian should take care not to affect adversely either his or her own independence or the integrity of the University. He or she may not become a regular and continuing employee of any other organization, either part time or full time, nor should the Librarian accept regular and continuing responsibility for the management of an outside enterprise. No Librarian may accept a

position that would tend to create conflicts of interest with his or her University work.

Attendance at meetings of professional library associations and learned societies is encouraged. Expenses may be shared by the Library under certain circumstances. Applications for assistance with expenses should be sent to the Department heads for approval and forwarded to the University Librarian as early as possible in the budget year.

D. GRIEVANCE PROCEDURES

It is expected that most job-related problems will be resolved by bringing them to the attention of the Staff member's supervisor, or where appropriate, the supervisor's supervisor or Assistant University Librarian. The following summary of grievance procedures outlines the steps to be taken when a dispute is not resolved by these means.

1. Grievances concerning appointment, reappointment, promotion, and adjustment in salary will initially be presented to the appropriate Assistant University Librarian. If the issue is not resolved in discussion, the Assistant Librarian submits a written statement of his or her position to the grievant within five working days. If the grievant wishes to appeal further, he or she submits (within ten working days) a written statement together with a copy of the Assistant University Librarian's statement to the University Librarian, who may consult with the Staff Review and Development Committee and call hearings if appropriate. Within fifteen working days of receipt of the appeal the University Librarian informs the grievant, his or her supervisor, and the Assistant University Librarian of his or her decision in writing. If the grievant remains dissatisfied, he or she may, as a final step, apply in writing directly to the Dean of the Faculty presenting his or her case together with all prior written statements relating to the case.

2. Group grievances involving changes in policy or general sorts of representation or comp aint are reviewed and presented to the appropriate University officials, committees, or bodies by the Dean of the Faculty upon recommendation of the Professional Library Staff Advisory Committee on Policy.

3. Individual grievances concerning an individual's terms and conditions of employment, including dismissal or suspension, are resolved through a three-step process described in "Grievance Procedures for Professional Library Staff" (Appendix B). These procedures include an initial step in which the grievance is presented and discussed with the supervisory hierarchy of the Library, an appeal to a group of peers if not resolved in the initial step, and finally an appeal to a group which includes representation from outside the Library Staff.

APPENDIX B

Grievance Procedure for Professional Library Staff

This procedure for settling grievances is available to all Librarians on appointment to the Princeton University Library Staff. It may be invoked for any grievance growing out of terms and conditions of employment, including dismissal or suspension, with the exception of those relating to salaries and promotions, or group grievances, for which a different procedure is to be followed.

This procedure offers three steps in dealing with grievances, as follows:

Step I.
The Grievance is presented and discussed with the supervisory hierarchy of the Library, with a view to settlement. (University Librarian's response only written document required.)

Step II.
Response of Librarian is appealed before group of Library peers. (Written request and opinion and recommendations.)

Step III.
Step II opinion and recommendations are reviewed before group including representation outside the Library Staff. (Written request and judgment.)

These three steps, described in detail below, represent three stages of discussion, each more serious than the preceding one, and each designed to settle the grievance quickly and equitably without recourse to later steps whenever possible. The essence of a grievance procedure is the final availability of a judgment outside the unit in which the alleged grievance occurs, and this procedure provides for that type of review.

Under this procedure, it is intended that no individual shall be penalized or disadvantaged for bringing and pursuing a complaint, for serving as a representative of a person involved in a complaint, or for providing information as requested in connection with a grievance procedure. A person who believes that he or she has been unfairly treated or penalized for such activities may present a complaint as a grievance under this grievance procedure.

All interviews and hearings relating to a particular grievance are to be discussed only with the principals involved and only under appropriate circumstances.

Grievances may be of two types: (1) a specific incident or (2) a situation involving an individual's own terms and conditions of employment. The words *Grievant* and *Respondent* are used in the following senses:

Grievant: the person (or persons) who complains against a supervisory action or against his or her particular work conditions or terms of employment.

Respondent: the supervisory person (or persons) who has taken an action giving rise to the complaint or who is responsible for the alleged unfair or inequitable terms or conditions of employment that apply to the Grievant in this particular case.

STEPS IN THE PROCEDURE

Step I

The intention of this step is to try to induce the parties to settle the complaint themselves through informal discussion before it becomes a formal grievance. This step does not require that any written records be kept, except for the response of the University Librarian, but the persons involved may want to keep some notes on the facts of the case for possible future use.

The Grievant must attempt to exhaust opportunities for settlement of the complaint within the supervisory hierarchy of the Library. The Grievant should first seek an interview with his/her immediate supervisor or his/her supervisor's superior, if conditions of his/her complaint suggest the latter as a more productive approach.

The Grievant may wish to seek a settlement of the complaint by bringing another person or persons, not his/her supervisor, into the discussion. If after the Grievant has presented the grievance to his/her supervisor so that the supervisor is aware of the nature of the complaint and discussion has failed to result in a mutually satisfactory agreement, the Grievant is free to use the following options at any point in Step I:

(1) The Grievant may request that a member of the Library Grievance Panel (established as described below in the section on "Structural Units") meet with the Grievant and the Respondent or others in the Library administration in a further effort to arrive at a mutually satisfactory solution. The Panel member selected, who must have no prior involvement in the case, should feel free to enter into the discussion as seems useful.

(2) Grievant and Respondent may each select a Representative, each of whom shall be acceptable to both principals and both of whom shall be full-time members of the Library Professional Staff. A single representative agreed upon by both principal shall be satisfactory. The representative(s) shall arrange a meeting of the principals and try to work out a mutually satisfactory solution to the problem.

A Grievance remains in Step I until the Grievant has exhausted opportunities for settlement of the complaint, including at the end a presentation of the grievance to the University Librarian. Following such a presentation, the University Librarian shall have five working days in which to respond before the Grievant may resort to Step II. The University Librarian shall make a definite response in writing to the Grievant by the end of the five-day period with a copy to the Respondent. Normally, the University Librarian's response will include a statement of the complaint and the issues involved as he/she sees them as well as any solution that he/she then wishes to propose.

Step II

If actions taken under Step I fail to provide a solution satisfactory to the Grievant, he/she may appeal to the Library Grievance Panel (constituted to function as described in the section on "Structural Units"). A case enters Step II when the Grievant submits to the Panel Chair a full statement of the grievance and his/her objections to any proposed settlement under Step I. Appeal to the Library Grievance Panel Chair must be made within ten working days after the Grievant's receipt of the University Librarian's written response. The Panel Chair shall be responsible for notifying the Respondent, the Personnel Librarian and other Library personnel who have directly participated in the case that an appeal has been made to the Library Grievance Panel and for seeing to it that they each receive a copy of the written material provided by the Grievant in connection with the the appeal. The University Librarian's written response shall be submitted to the Chair of the Panel by the University Librarian upon receipt of the Grievant's written statement submitted in connection with the appeal to Step II.

The Panel Chair, within ten working days after an appeal is received, shall arrange for an Appeal Committee to be selected and the first meeting of the Appeal Committee shall be held. (The method of selection of an Appeal Committee is explained in the section on "Structural Units.")

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The Library Grievance Panel shall adopt, and each Appeal Committee shall apply, procedures that ensure: (a) the Grievant receives a fair hearing and is afforded ample opportunity to present his or her case directly to the Appeal Committee, (b) the Grievant and the Respondent are aware of the facts and evidence that have been presented against either of them, and (c) both parties receive written notification of the findings of the Appeal Committee.

Within fifteen working days after the Committee's last hearing, it shall report its opinion and recommendations in writing to all parties directly involved in the case, placing a copy of the opinion and recommendations, together with other written documents related to the case, in the confidential Grievance Panel Appeal File maintained in the University Librarian's Office. Both the Grievant and the Respondent may request that specific information, with the exception of the final opinion and recommendations, be excluded from this file record. In addition, written communications from outside the University Community which were designated by the writers as privileged shall be excluded from the file.

The opinion and recommendations of the Appeal Committee is not binding. Rather, it provides the parties with an impartial opinion of their peers on the merits of the case. The Committee's opinion as filed in the Appeal File shall be made available to any group which reviews the case in Step III.

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Step III

If the Grievant is not satisfied by the results of his/her appeal to peer group opinion provided in Step II, the Grievant may request a review by the University Review Committee for Librarians' Grievances (constituted to function as explained in the section on "Structural Units"), the final provision in the University for consideration of a Librarian's grievance. A case enters Step III when the Grievant submits to the Dean of the Faculty, in his capacity as Chair of the Review Committee, a full statement of the grievance and his/her objections to the proposed settlements under Steps I and II. Normally, such a request should be made thirty days after the Grievant has received the written findings of the Library Appeal Committee and the University Librarian has stated to those involved whether or not the Library will adopt any changes that the Appeal Committee may have recommended in its findings.

The Dean of the Faculty shall officially accept the Grievant's written request for review of the grievance, provided the request is in accord with procedural requirements. Thereafter, arrangements shall be made by the Dean of the Faculty so that the University Review Committee will act on the request as expeditiously as possible. The Committee shall adopt procedures to ensure that (a) all relevant facts have been presented and considered, (b) the employee receives a fair hearing and is afforded ample opportunity to present his/her case directly to the Committee, and (c) the employee is aware of the facts

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and evidence that have been presented against his/her case. Within fifteen working days after its last hearing, it shall report its judgment in writing to all parties directly involved in the case.

The Review Committee shall place a copy of the judgment in the confidential Grievance Panel Appeal File maintained in the University Librarian's Office. The Committee may elect to add to the file any other relevant documents which it deems of possible value in case of further activity relating to the grievance.

Time Limit Waiver

If there is a reasonable explanation why a Staff member has failed to submit an appeal or request a review within the required time limits, the relevant time limit may be waived by the body to which the application is made.

Follow-up

If the grievance procedure has gone into Step II or beyond, the Panel Chair, six months after the last report of findings has been made, shall institute a follow-up to insure that any changes accepted have been carried out both in letter and spirit and that those directly involved in the case have not been retaliated against or otherwise treated unfairly because of their involvement. The follow-up shall be instituted at an earlier time, if requested by the Grievant.

If the Chair finds that agreements have been honored and there has been no retaliation, he/she shall add a written report to that effect to the Appeal File. If agreements have not been carried out fairly, the Chair shall so report in writing to the Dean of the Faculty, with copies of the report sent to those involved in the action and a copy provided for the Appeal File.

STRUCTURAL UNITS

Library Grievance Panel

The procedure depends in part on the availability of a standing Library Grievance Panel. The Panel shall be made up of ten Librarians, five of whom are elected each year and serve two-year terms. In each annual election, the slate of nominees for the Panel shall be determined by the Committee on Committees and Elections and shall be at least eight in number. The election of the five Panel members each year shall be determined by the method of the single transferable vote. Initially, there will need to be at least 16 nominees on the written ballot and the election of five members to serve one-year terms and five to serve

two-year terms. The Chair of the Panel shall be elected annually by the members of the Panel, with the Chair of the previous year's Panel serving until he/she has presided over the election of the new Chair.

Vacancies in the Panel resulting from the departure of any of its members from the Library Staff shall be filled by a special election, which can be held or not at the discretion of the Chair, but must be held if the Panel otherwise would fall below seven members. Such a special election shall follow the same procedure and method as the regular annual election; in special elections candidates shall be nominated to fill out the unexpired terms of members of the Panel who have resigned. There shall be no limit on renomination of members of the Panel for additional two-year terms.

The Panel shall be a group whose members are on call to serve for designated cases. When Staff members agree to stand for election to the Panel, they must agree to serve when called unless they have prior involvement in the case for which they are selected or are physically unable to serve. If a Panel member's term ends while he/she is involved in the mediation of a case, the member shall continue to serve until the case is completed.

Appeal Committee

The Panel members who serve for a designated case shall be selected as follows: A three-member Appeal Committee shall be constituted by the selection of one Panel member by the Grievant and one Panel member by the Respondent. These two Panel members in turn shall select a third member of the Panel to serve as Chair of the Appeal Committee. In no case shall the Panel Chair serve on an Appeal Committee, since he/she may be asked to review a case in Step III. In case a third member for an Appeal Committee cannot be agreed upon, the selection of the third member, who serves as Chair of the Committee, shall be made by the successive striking out of the names of available members of the Panel by alternate decision of the two members selected, starting with the member selected by the Grievant, until only one name remains, that one to serve as Chair of the Committee.

The Appeal Committee shall have the power to call and question witnesses in hearings, which shall be closed, and to see records relevant to the case. The Appeal Committee's determinations shall be in accord with University policies, unless any of them are the substance of the grievance. The Appeal Committee, in the course of its deliberations, shall be free to consult the Personnel Librarian, the University Librarian, and the Dean of the Faculty. The Appeal Committee shall have no right to establish any University policy, or to add to, subtract from, or change existing University policies. Each opinion and recommendation rendered by an Appeal Committee shall be reviewed by the

appropriate University office and body to see whether an existing University policy should be examined for possible changes.

University Review Committee for Librarians' Grievances

A standing University Review Committee for Librarians' Grievances shall be provided for reviewing grievances carried to Step III by the Grievant. The Committee shall be composed of the following five persons:

The Chair of the Library Grievance Panel
A Member of the Faculty Committee on the Library (not a member of the Library Staff)
The Chairman of the Committee on Conference of the Faculty
The Librarians' Representative to the Council of the Princeton University Community
The Dean of the Faculty, who serves as Chair of the Committee

The faculty member representing the Faculty Committee on the Library shall be elected each fall by the Faculty Committee during its first meeting.

Each of the five members of the Review Committee shall have one vote. The findings or decision of a majority of the Committee shall constitute the decision of the Committee. If for some reason a member is not available to serve on the Committee to handle the grievance at the time a review is requested, the President of Princeton University shall select an individual to serve in place of the unavailable member. The individual selected by the President shall be representative of the unit, function, or activity of the member being replaced.

June 19, 1973

QUEEN'S GAZETTE

A SUPPLEMENT TO VOLUME VIII NUMBER 32 TUESDAY, AUGUST 10, 1976

Senate Statement on Grievance, Discipline and Related Matters

February 26, 1976

Reprinted November, 1978, incorporating amendments approved by the Senate during 1978.
See page 22.

At its meeting of February 26, 1976, the Senate approved the following motions presented by the Committee on University Grievance Procedures:

(1) *that this document be the official Senate statement and take precedence over the earlier documents;*
(2) *that the Senate send this report to all decision-making bodies in the University, with instructions that actions be taken where applicable.*

The Committee on University Grievance Procedures had carried out an extensive study on the existing grievance procedures (Senate Statement on Grievance, Discipline and Related Matters, April 27, 1972) in light of the experience to date, and several amendments had been passed by the Senate during 1974 and 1975. The amendments were approved by the Board of Trustees at their meetings of February 14/15 and April 11, 1975.

This document represents a consolidation of the new procedures approved by the Senate, and is now the official Senate Statement on Grievance, Discipline and Related Matters.

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told to whom or what responsible group or groups the *communication* will be shown and the purposes for which it will be used.

(viii) **Disposition of Private Information**

When private information, including information designated as confidential, gathered within the university has fulfilled the purpose for which it was collected, it shall be deposited in the archives of Queen's University and be retained at all times under appropriate security. Any such private information may be consulted by authorized researchers under the supervision of the University Archivist twenty-five years after the subject has left Queen's University with the authorization of the individuals involved or, if deceased, their executors or next of kin, and in any case ten years after the death of the individuals involved.

Privacy of Library Records

(16) Any records which may be necessary for the orderly distribution, location and use of information materials by individuals, which may be maintained by university libraries, are to be used solely for the orderly purposes of library business, and are to be considered *private*.

Recruitment on the Campus

(17) The Senate shall maintain the power and responsibility of laying down general rules with regard to student recruitment on campus by off-campus employers and organizations.

Special Status of Medical Students

(18) The Queen's Medical School should continue to assume delegated disciplinary powers from the Ontario College of Physicians and Surgeons.

IV SYSTEM FOR HANDLING GRIEVANCES AND DISCIPLINE WITHIN THE UNIVERSITY

Formalization of Grievance Administrative Structure

(19) The informal methods which currently exist should be retained but some formalization of the administrative structure for dealing with grievances, and appeals in discipline, to ensure that any grievor can ultimately get a hearing that can be seen to be just, is necessary.

Right to Discipline and to Appeal

(20) Discipline is, and should continue to be, meted out by administrative officers of the university, by departmental committees or Faculty Boards, and by the A.M.S. Courts. From any of these decisions there should be a right of appeal and such appeals fall into the grievance channel.

Students and Faculty Subject to the Same Code of Conduct

(21) (i) Subject to any exceptions specifically provided for by Senate, students and faculty shall be subject to the same Code of Conduct and shall have access to the same grievance procedure.

Who May/May Not Use Grievance Procedures

(ii) The term "grievor" within the grievance procedures set forth in the Senate Statement on Grievance, Discipline and Related Matters shall include:

(a) Any student who is registered in an academic program at Queen's University on either a full-time or part-time basis or who was so registered at the time of the occurrence upon which the grievance is based;

(b) Any faculty member who holds an academic appointment at Queen's University at the rank of Instructor or above on either a full-time or part-time basis or who held such an appointment at the time of the occurrence upon which the grievance is based;

(c) Any employee of Queen's University who holds an appointment directly from the Principal, or who held such an appointment at the time of the occurrence upon which the grievance is based.

(iii) The word "grievor" within the grievance procedures set forth in the Senate Statement on Grievance, Discipline and Related Matters shall not include:

(a) Non-academic employees of Queen's University who are included within a union collective bargaining agreement; or

(b) Non-academic employees or support staff of Queen's University who do not hold appointments included within sub-paragraph 21(ii).

Visibility of Lines of Appeal

(22) There should be a clearly advertised line of appeal in matters of grievance by faculty and students.

Time Limit for Grievance

(23) (a) A grievor shall lodge a grievance or an appeal from an adverse decision within two weeks of the adverse decision or incident with respect to which the grievance pertains.

(b) The person with whom the grievance is lodged and the person to whom any subsequent appeal is taken must respond to the grievor within two weeks of the date upon which the grievance is received. Failure to respond within this time shall entitle the grievor to assume that his grievance has been denied and entitle the grievor to appeal to the next higher decision-maker.

In the event that it is necessary to refer the grievance to a body which meets with a frequency of more than once per month, the grievance shall be placed on the agenda of the meeting immediately following the receipt of the grievance. If the frequency of regular meetings is less than once per month, a special meeting of the body shall be convened within two weeks to consider the grievance. A report of the decision shall be mailed to the grievor within one week of the meeting at which the grievance was considered.

Contents of Response

(c) The response to a grievance shall set forth in writing:

(i) the decision including any sanction or other penalty which has been imposed;

(ii) the reasons for the decision including the facts upon which the decision was based;

(iii) the person with whom any appeal from the decision may be lodged;

(iv) the time within which any appeal may be lodged;

(v) the persons such as the grievance officer to whom the grievor may turn for assistance.

Failure to Adhere to Time Limits

(d) Unless the time limits for pursuing the grievance are adhered to by the grievor, the grievor shall be precluded from pursuing the matter further. The party to whom an appeal is taken, however, may extend the time for pursuing the grievance or appeal.

Jurisdiction of Grievance Board

(24) (a) There shall be a Grievance Board with jurisdiction to deal with grievances with respect to any of the following matters:

(i) decisions made by the university or one of its consitituent parts;

(ii) acts or omissions to act by the university or one of its constituent parts with respect to violations of, or non compliance with, any of the rules, regulations, directions, or laws referred to in paragraph II of this document.

(iii) acts or omissions to act by the university or one of its constituent parts with respect to violations or infringements of the rights of any member of the university community, including but not restricted to the right to freedom of speech.

Exclusions from Jurisdiction

(b) The following matters are excluded from the jurisdiction of the Grievance Board:

(i) matters involving tenure;

(ii) decisions with respect to salary or promotion;

(iii) academic decisions.

Composition of Grievance Board

(c) A Grievance Board shall consist of the following members who, save and except the chairman, shall be empanelled afresh for each grievance:

(i) either the chairman (who shall usually be a member of the Faculty of Law) or alternate chairman (who shall not usually be from the same Faculty as the Chairman) both of whom shall be appointed by the Senate to advise the Grievance Board on matters of law and procedure; and

(ii) one student senator drawn by lot from a panel of the fourteen student senators excluding the A.M.S. President or his delegate and any student senators from the Faculty of Law; and

(iii) one faculty senator drawn by lot from a panel of fourteen faculty senators excluding any senators from the Faculty of Law.

Notice of Intention to Appeal

(25) A grievor, after exhausting all other remedies and appeals within the university may with 2 weeks of the last decision complained against, appeal to the Grievance Board by filing a written Notice of Intention to Appeal with the Secretary of the Senate. Unless the time limit for filing the Notice of Intention to Appeal is adhered to, the grievor shall be precluded from pursuing his or her appeal provided that the Grievance Board Chairman may extend the time where the circumstances justify such an extension.

Powers of Grievance Board

(26) (a) The Grievance Board shall investigate any grievance properly before it and may interview and take statements from any person who may have the information relevant to the grievance or appeal.

(b) The Grievance Board upon completing its investigation may make one or more of the following dispositions, namely:

(i) Refer the matter with or without a recommendation to the appropriate faculty board, council or other deliberative body of the university for reconsideration with a requirement that the Faculty Board, council or other body report to the Grievance Board with respect to the disposition of the grievance. The Grievance Board shall retain jurisdiction over the grievance pending the receipt of a report. Upon receipt of the report, the Grievance Board shall prepare a final statement which shall determine whether there has been compliance with the recommendations of the Grievance Board.

(ii) Report to Senate concerning the Grievance.

(iii) Make a public report concerning the grievance.

(iv) Make recommendations to any constituent part of the university.

(v) Convene Senate on short notice for the purpose of debating any matter of policy or principle arising from the grievance.

(vi) Report that no action should be taken with respect to the grievance and dismiss the appeal.

Function of the Grievance Board

(27) In any appeal, the Grievance Board shall determine whether the circumstances of the grievance merit further action or reconsideration by the university or one of its constituent parts. If either the student or the faculty member of the Grievance Board decides that the circumstances of the grievance merit further action or reconsideration by the university or one of its constituent parts, the Grievance Board shall select one or more of the alternatives set forth in paragraph (26) other than dismissing the appeal. If the student member and the faculty member of the Grievance Board are unable to agree upon a disposition, the Board Chairman shall in conjunction with the other members of the Grievance Board, determine the manner of disposition other than dismissing the appeal.

Rules of Procedure for Grievance Board

(28) The Rules of Procedure for the Grievance Board are set forth in Appendix A.

Effective Date of These Amendments

(29) The amendments and the Rules of Procedure contained in Appendix A shall apply to all Grievance Board hearings which commence after the approval by Senate of these amendments notwithstanding that the grievance arose or a Notice of Intention to Appeal was filed prior to Senate approval of these amendments.

Supplementary Rules

(30) The Grievance Board Chairman shall have the power to issue supplementary "Rules of Procedure" to govern the conduct of Grievance Board hearings. Rules issued pursuant to this power shall not conflict with the Senate regulations and shall be filed in the Senate Office.

Ultimate Tribunal

(31) (a) There shall be an Ultimate Tribunal with authority to make a final disposition of any appeal from the Grievance Board or the A.M.S. Court.

Selection of Outside Arbitrator

(b) The Ultimate Tribunal shall consist of a legally trained independent outside arbitrator to be agreed upon by the parties involved in a grievance. In the event that the parties are unable to agree upon an arbitrator within two weeks of the Notice of Intention to Appeal to the Ultimate Tribunal, the Chairman of the Committee

of Ontario Law Deans shall be requested to make the choice from among those legally trained people in the Province who have experience as Human Rights Enquiry Commissioners or labour arbitrators. If the Chairman of the Committee of Law Deans is the Dean of Law at Queen's University, the immediate past-Chairman shall be requested to make the choice.

Notice of Appeal

(32) (a) Any party to a proceeding before the Grievance Board may within two weeks of the final disposition by the Grievance Board apply for a hearing before the Ultimate Tribunal by filing a written Notice of Intention to Appeal to the Ultimate Tribunal with the Secretary of the Senate.

Security for Costs

(b) Prior to the appointment of the outside arbitrator, the appellant (other than the university) shall deposit with the Secretary of the Senate the sum of $250 as security for the payment of the arbitrator's fees and expenses and other costs of the Ultimate Tribunal hearing together with a written undertaking (in the form set forth in Appendix B) to pay such share of the fees and expenses of the arbitrator as may be determined pursuant to paragraph (35). If the sum of $250 is not deposited or the written undertaking is not filed within six weeks of the filing of the Notice of Intention to Appeal to the Ultimate Tribunal, the appeal should be deemed to have been abandoned.

Appeals from Grievance Board

(33) In the case of appeals from the Grievance Board, the Ultimate Tribunal shall hold a full hearing with respect to the grievance in accordance with the requirements of the Statutory Powers and Procedure Act of the Province of Ontario. The hearing shall normally be open to the public but the arbitrator shall have absolute discretion to close the hearing.

Appeals from A.M.S. Court

(34) (a) Except as provided in sub-paragraphs (b) and (c) there shall not be any appeal from the decisions of the A.M.S. Court.
(b) Decisions of the A.M.S. Court in matters of discipline may be appealed to the Grievance Board.
(c) Decisions of the A.M.S. Court to the Grievance Board involving expulsion or suspension from the university may be further appealed from the Grievance Board to the Ultimate Tribunal. In such cases, the Ultimate Tribunal shall hold a full trial of the matter in accordance with the requirements of the Statutory Prowers and Procedure Act of the Province of Ontario with the onus on the prosecution to establish the disciplinary breach in question.

Costs Related to Ultimate Tribunal

(35) (a) Except as otherwise provided in this paragraph, the fees and expenses of the arbitrator and other costs of the Ultimate Tribunal hearing shall be borne equally by the parties to the appeal, and each party shall bear its own legal costs of appearing before the Ultimate Tribunal.
(b) In an appeal wherein the university or one of its constituent parts is a party, and either
(i) the Ultimate Tribunal disposes of an appeal in favour of the grievor;
(ii) the university has not complied with the recommendations of the Grievance Board; or
(iii) the university is the appellant before the Ultimate Tribunal.
the university shall bear all of the fees and expenses of the arbitrator and other costs of the Ultimate Tribunal hearing and, in addition, the university shall pay legal fees incurred by the grievor related to the appearance before the Ultimate Tribunal on the scale established under the Ontario Legal Aid Plan for proceedings in the County Court up to a maximum of $1500.
(c) If an appellant fails to pay his or her share of the arbitrator's fees and expenses and other costs of the Ultimate Tribunal hearing as determined in accordance with paragraph (35) within 30 days of the arbitrator's decision, any sum deposited as security for the payment of costs pursuant to section (32)(b) shall be forfeited to the university. In such an event the university shall pay the appellant's share of the arbitrator's fees and expenses and other costs of the Ultimate Tribunal hearing and be entitled to recover the amount of such payment, less the forfeited deposit, from the appellant.
(d) The Principal shall be responsible for engaging legal counsel to represent the university or any of its constituent parts other than the grievor in relation to any hearings of the Ultimate Tribunal. If legal counsel is engaged pursuant to this paragraph, the University shall bear the fees, costs and expenses of such legal counsel.
(e) The maximum financial liability of the university pursuant to this paragraph in any fiscal year, shall be $15,000 provided that upon special application the Board of Trustees may authorize an expenditure in a specific fiscal year of a sum greater than $15,000.

Costs Prior to Ultimate Tribunal

(36) At any stage of the grievance process prior to a hearing before the Ultimate Tribunal, any individual or group shall be responsible for paying his or their own costs and legal fees.

Permanent Secretariat

(37) The Senate Office shall act as permanent secretariat for the Grievance Board and the Ultimate Tribunal including the responsibility for providing secretarial assistance and administrative services to the Grievance Board and the Board Chairman, and for providing administrative services to the Ultimate Tribunal.

Functions of the Senate

(38) (a) The Grievance Board is a committee of the Senate and grievances deemed by the Board to be mainly matters of policy shall be referred by the Grievance Board to the Senate for debate.
(b) If any grievor could persuade the Senate to debate his case, the Senate's ruling would overrule that of the Ultimate Tribunal; however, as a general rule, the Senate, as a matter of institutional self-restraint, should refuse to perform this function.
(c) The Senate shall continue to have legislative authority to change any rules relating to grievance and discipline.
(d) Only the Senate can dismiss a student *from the University* for cause.

Grievance Officer

(39) (a) There shall be a Grievance Officer appointed by Senate for a three-year renewable term, from the ranks

of teaching faculty. If necessary, the Grievance Officer should have a reduction in other responsibilities and if experience proves that the Grievance Officer is overburdened, other such officers should be appointed. It is preferable that the Grievance Officer not be absolved completely from teaching duties.

(b) The function of the Grievance Officer shall be to provice advice and support to a student or faculty member who, for whatever reason, political, social or psychological, does not wish to enlist the support of other support persons or groups.

(c) When requested by any interested party the Grievance Officer may, as of right, be present at any meeting between the grievor and any decision-maker. The right to have the Grievance officer present shall be in addition to the right of the grievor to be accompanied by a person of his choice at any stage of the grievance procedure.

(d) The Grievance Officer shall have the power at any stage of the grievance procedure prior to the filing of a Notice of Intention to Appeal to the Grievance Board, whether or not all appeals by the Grievor have been exhausted, to refer the matter to the Grievance Board by notifying the Secretary of the Senate and the Chairman of the Grieva ce Board. After such notification, the hearing of the grievance shall proceed as if the grievor had filed a Notice of Intention to Appeal to the Grievance Board.

Library Fines

(40) Library fines shall continue as long as ultimately there is the right of appeal to a "judicial" tribunal.

Discipline in Residences

(41) The structure and procedures for dealing with discipline in the university residences are delegated to the governing bodies of the residences subject to the requirement that these governing bodies allow appeals from residence disciplinary decisions to the A.M.S. Court on certain specified grounds approved by the governing bodies.

A.M.S. Court

(42) The A.M.S. Court shall continue to exercise jurisdiction over students in specified non-academic matters including the power, as determined by the By-laws of A.M.S., to invoke the full range of sanctions for conduct contrary to the By-laws including suspension and expulsion. Any decision by the A.M.S. Court requiring a student to withdraw from the University shall be appealable to the Grievance Board.

Effective Date of Sanction or Penalty

(43) No sanction or penalty other than a reprimand or a warning may be put into effect until the person affected has either exhausted all channels of appeal or grievance, or has allowed the time for appeal to lapse. The university administration retains the power, where necessary, to relieve a staff member of his duties or to suspend a student from all or some of the student's courses or programs pending the outcome of his or her appeal, provided that any salary or other benefit shall continue.

Consistency with Statement on Academic Freedom and Tenure

(44) The Grievance Procedure in the Senate Statement on Academic Freedom and Tenure should be fully consistent in all respects with recommendations outlined in Part IV of this report.

Appeal Procedures and Decisions on Tenure

(45) It should be made very clear that the decision to grant or deny tenure is to be based on an overall assessment of a probationary faculty member's performance. Thus, in no case should the tenure determination be initiated, continued or completed while a grievance or an appeal from discipline affecting a faculty member is in process. Once the appeal procedure has been exhausted, the decision to grant or deny tenure may be made.

Appeals Relating to Salary and Promotion

(46) Appeals against decisions relating to salary and promotion which do not involve matters of tenure, should fall into the normal grievance channels, except that they should not proceed by way of the Grievance Board and Ultimate Tribunal.

Tenure Appeal Committee Procedures

(47) On any appeal to the Tenure Appeal Committee the applicant should be advised by the committee of the grounds upon which tenure has been denied, that he be given copies of all documents, other than confidential documents put before the committee and that he be told if confidential documents are relied upon and informed of their contents to the extent permitted by confidentiality.

Legal Advice for Tenure Appeal Committee

(48) On matters of procedure the Tenure Appeal Committee should consult and weigh carefully the advice of the university solicitor, or other lawyer appointed for the purpose.

Probationary Appointments

(49) Every probationary appointee should be given a clear and unambiguous statement of the rules about probationary appointments generally applicable in his faculty and department or schoool, and of the particular conditions attaching to his case.

A.M.S. Constables and Crowd Control

(50) The A.M.S. constables should be given responsibility and authority to control crowds at formal university functions, including athletic and social events, and to deal with disorder and disruption on the campus.

Jurisdiction over University and Non-University Members

(51) Students apprehended by A.M.S. constables in the course of such activities should be charged before the A.M.S. Court or reported to the responsible administrative officer for disciplinary consideration as appropriate. Faculty and non-academic staff involved in such activities would, in the same way, be reported to the responsible officer of the university. Non-members of the university would be reported to the police, as would students and staff where appropriate, within the terms of Item III(10) of this document.

State of Emergency Procedures

(52) In the event of violence or destruction on campus beyond the control of the A.M.S. constables, the Principal is empowered to declare, after as wide consultation as is feasible in the circumstances, with A.M.S. officers among others, that for up to 48 hours a state of emergency

prevails. A state of emergency for more than 48 hours should have to be declared by the Senate and could be rescinded only by the Senate. When a state of emergency has been declared, the Principal has the power to call for the help of the police or other public authorities. Their activities will, of course, be governed by the law of the land. As soon as possible after the summoning of the police the state of emergency be declared at an end and the normal system of grievance and discipline be restored. Members of the university apprehended during the state of emergency should be disciplined by the university in accordance with the restored system of discipline and appeals.

APPENDIX A

RULES OF PROCEDURE FOR GRIEVANCE BOARD INVESTIGATION

(a) Upon receipt of a Notice of Intention to Appeal the Secretary of the Senate shall send copies of the notice to the Grievance Board Chairman, the Principal and the Dean, Administrative Officer or other individual concerned with the grievance.

(b) Upon the receipt of a Notice of Intention to Appeal, the Board Chairman shall instruct the Secretary of the Senate to empanel a Grievance Board. The Board Chairman may, both before and after receiving representations from the grievor, or the Principal on behalf of the university, require any Senator to withdraw from sitting on any Grievance Board where the Senate has an actual or potential conflict of interest or has or may be perceived by the grievor as having an illegitimate bias.

(c) The grievor shall submit a full written statement of the grievance to the Board Chairman within two weeks from the date of the filing of the Notice of Intention to Appeal. The written statement of the grievance shall set out all the facts relied upon by the grievor in support of his grievance and shall identify all persons who in the knowledge of the grievor may support or verify those facts and shall be accompanied by copies of all relevant documentation in the possession or control of the grievor.

(d) The Board Chairman shall send a copy of the statement of grievance to the faculty, school, administrative office or individual concerned with the grievance (hereinafter called the "respondent").

(e) The respondent, to whom a copy of the statement of grievance has been sent, shall have two weeks within which to submit to the Grievance Board Chairman a full written statement of response to the grievance setting forth all the facts relied upon in defence of the grievance and identifying all persons who in the knowledge of the respondent may support or verify these facts. The written statement of response shall be accompanied by copies of all relevant documentation in the possession or control of the respondent.

(f) The two-week period prescribed for the submission of the written statements of grievance and response may be extended by the Grievance Board Chairman where the reasons for the delay are beyond the control of the person asking for the extension of time.

(g) The Grievance Board Chairman shall convene the Grievance Board within three weeks after the filing of the statement of the grievance or as soon thereafter as is possible to examine the statement of grievance and the statement of response, if any, and to determine whether any additional information may be required in order to evaluate the grievance or the response to the grievance or to clarify apparently contradictory facts. If additional information is required, the Grievance Board may request the parties to the grievance to supplement their original written statements. If necessary, the Grievance Board may

(i) interview any person whom it believes may have information which is relevant to the grievance, or

(ii) request any person to submit a written statement in lieu of the oral interview or in addition to such interview.

(h) the Grievance Board shall record all interviews and shall make such records available to the parties together with copies of all documentation filed in support of the grievance or the response to the grievance or obtained by the Grievance Board during its investigation.

(i) After obtaining such additional information, if any, the Grievance Board Chairman shall convene a meeting of the Grievance Board and invite the parties to address the Grievance Board if they wish. The length of time allowed each party shall be determined by the Board in consultation with the Board Chairman taking into consideration the nature of the grievance.

(j) No direct examination or cross-examination of the parties or any witnesses shall be allowed. Members of the Grievance Board may question the parties in order to seek clarification of matters relevant to the determination of the grievance.

(k) If, during the course of any meeting of the Grievance Board, it becomes apparent that additional information is required in order to resolve the grievance, the chairman may adjourn the meeting to permit the parties to bring forward such additional information or facts or to permit the Grievance Board to obtain such additional information.

(l) After hearing the parties, the Grievance Board may either make one of the dispositions set forth in paragraph (26)(b), or adjourn for a period not exceeding one week for the purpose of making a disposition. If the Grievance Board makes a disposition pursuant to paragraph (26)(b)(i), the Board retains the jurisdiction pending receipt of a report and may make such further disposition as the Board sees fit within 2 weeks from the receipt of such report.

(m) The Grievance Board shall prepare a written statement of its disposition of the grievance and the reasons for the disposition. The original copy of the statement shall be filed in the Senate Office and shall be reported to the Senate in closed session by the Board Chairman. A copy of the statement shall be sent to the parties as soon as possible to an address to be supplied by them to the Board Chairman.

(n) The Grievance Board shall send a report to Senate or other relevant university constituencies, commenting on matters of broad interest which might arise from their deliberations.

APPENDIX B

UNDERTAKING TO PAY COSTS OF ULTIMATE TRIBUNAL

Whereas I have filed a Notice of Intention to Appeal to the Ultimate Tribunal.

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LIST OF READINGS

Because little has been written about the Assistant/Associate Director position, the references provided are to material on library management and decision-making that includes consideration of top management. The OMS plans to publish an Occasional Paper on Assistant and Associate Directors in the near future.

Kaplan, Louis. "On Decision Sharing in Libraries: How Much Do We Know?" College and Research Libraries 38 (January 1977) 25-31.

Martin, Murray S. Issues in Personnel Management in Academic Libraries. Greenwich, Conn., JAI Press, 1981. See Chapter 3: The Organization of Libraries, and chapter 4: The Role of Senior Administrators.

Mayeski, John K., and Marilyn J. Sharrow. "Recruitment of Library Managers: A Survey." Journal of Academic Librarianship 8 (July 1982) 151-154.

Sparks, Rita. "Library Management: Consideration and Structure." Journal of Academic Librarianship 2 (1975) 66-71